Leadership and its Impact on the Success of Social Sciences and Humanities Research Council Funded Collaborative Research Projects

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Abstract

This dissertation investigates the practice of leadership in collaboratively designed and funded research in a university setting. More specifically, this research explores the meaning of *leadership* as experienced by researchers who were, or still are, engaged on Social Sciences and Humanities Research Council (SSHRC) funded collaborative research projects in a university setting.

This qualitative study (Gay & Airasian, 2003) is situated within a social constructivist paradigm (Kezar, Carducci, & Contreras-McGavin, 2006) and involves an analysis of the responses from 12 researchers who answered 11questions related to my overarching research question: *What is the impact of leadership on university based collaborative research projects funded by the Social Sciences and Humanities Research Council based on the experiences of researchers involved?*

The data that emerged supported and enhanced the existing literature related to leadership and collaborative groups in academia.

The type of preferred leadership that emerged as a result of this research seemed to indicate that the type of leader that appeared to be optimal in this context might be described as a *functional collaborative expert.*

Key words: Leadership, collaboration, academia, Social Sciences and Research Council.

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CHAPTER ONE: BACKGROUND AND STATEMENT OF THE PROBLEM

As resources become "scarcer and survival tougher" (Bensimon & Neumann, 1993, p. 2) traditional forms of leadership have changed. Leaders are no longer conceived as being heroic (e.g., Bass, 1990; Yukl, 2006) "solo artists" (Bensimon & Neumann, 1993, p. 2) ensconced in organizational structures that reinforce the notion of the "one-person leader" (Bensimon & Neumann, 1993, p. 2), instead, there is an expectation that leaders will emerge from all levels and departments of organizations, and academic institutions are no exception.

Leaders in academia are found at all echelons in the university not just at the chair, decanal, vice president, president, or senior administrative staff levels. They originate from within the ranks of faculty in the form of exemplary student mentors and teachers, research managers, authors, committee members, fundraisers, and public speakers. Even though these aforementioned activities might not seem to be leadership roles in the historical and traditional sense, faculty members are increasingly assuming roles that place them in situations where they oversee projects, manage students, and work collaboratively with colleagues. These leadership and collaborative activities have become a significant part of what faculty members do on a daily basis.

Some of them, however, still view leadership as administrative and of a less scholarly nature and they may not conceive that what they do is within this realm. They may view academic leadership as being the responsibility of senior managers who have the duty to remove administrative work from their agendas allowing them to focus on research and teaching (Rowley & Sherman, 2003). Devoting time to acquiring exemplary leadership

skills may not appeal to them, be properly rewarded at their institutions, or be perceived as something they should be doing.

These views may emerge as a result of the belief that they did not go to school for so many years in order to assume "managerial or leadership positions... because they [are] educated for, and want to, teach and/or do research even though they are part of an organization that believes in shared governance" (Rowley & Sherman, 2003, p. 1058). These "stereotypical sentiments" may lead to their attempting to absolve themselves of leadership responsibilities resulting in missed opportunities to invoke change, "impact policy...and bring positive impacts for themselves as well as for the campus as a whole" (Rowley & Sherman, 2003, p. 1060).

Membership in this academic community, however, increasingly means that scholars do assume leadership positions on committees, as chairs, on research ethics boards, in community based organizations, and on collaborative research projects. Some faculty members may consider some of these tasks to be out of their realm of responsibility but even those who do not desire to take an active leadership role may find that they are compelled to do so as part of their employment situation. As a result, they are expected to possess capabilities that are based on what is valued in good leaders such as collegiality, trust, honesty, respect, and fairness (Rowley & Sherman, 2003) and to contribute to "institutional innovation and creativity" (p. 1062). Some of these capabilities do not come naturally and need to be learned, so time expended on learning these attributes and skills is necessary but may not be viewed positively by faculty members or senior administrators as a good use of researchers' time in regards to their training and their job descriptions.

Others, however, believe that leaders should be recognized, appreciated, and rewarded at all levels within the university (Rowley, 1997). For example, a leader may be someone who is an excellent mentor of students or colleagues, has a significant publication record, or is an acknowledged expert in a particular field. These individuals do not need to assume an administrative role to be considered a leader but rather they serve as a role model or exemplar to others in their words and actions. They work well collaboratively, maintain relationships, attend to detail, and pay attention to a "sense of direction and vision and the imparting of that vision" (Rowley, 1997, p. 78) even when their particular role may not be clearly defined. Academic leaders may also manifest themselves in different contexts within the university and one of these contexts is within funded research teams where leaders are called upon to identify research questions, develop methodologies, and manage colleagues, students, research activities, ethics protocols, and project milestones.

So, leadership in academia is a complex, but necessary, activity, not confined to the upper echelons of power, but rather one that involves everyone who engages with students, staff, colleagues, and the internal and external communities. Thus this study is worthy of attention and has particular value with its focus on leadership in collaborative research groups.

Situating Leadership and Collaboration in Academia

Studies on leadership in academia suggest that groups found within other sectors are similar to those in higher education in regards to the importance of articulating clear roles among members, clarifying group benefits and rewards, and discussing and negotiating levels of accountability. Developing a structure that suits the context and needs of group members is also important in collaborative groups, as is choosing a leader or leaders who

are respected and able to guide the group, scan the environment, and match resources to the group's goals and objectives.

Adapting to changes in external and internal environments in conjunction with individual team member's evolving goals, skills, and needs is also common across sectors as is ensuring that resources are sufficient enough to allow for the development of the group (Oandasan, Clements, Dault, & Priest, 2006). Academia is different from other sectors, however, in regards to the values and norms articulated by its members and its faculty associations. With an emphasis on research, faculty autonomy, student training, and theoretical approaches to learning, universities occupy a niche within the educational sector that separates them from community colleges and the elementary and secondary school system as well.

Given these differences, relatively little leadership research has focused on the academic environment except by writers preoccupied with conducting studies on what makes a good university president or dean (e.g., Gayle, Tewarie, & White, 2003; Montez, & Nies, 2001; Wolverton, Gmelch). Much of the remaining literature on leadership has been related to private companies, nonprofit agencies, and the health care sector (e.g., Bass, 1990; Burns 1978). Although these organizations share similarities with universities, the results of these studies cannot be generalized to the group that I studied.

It is difficult to fully understand leadership unless it is examined within a specific context whereby unique norms, organizational cultures, structures, and values are considered. Research on leadership can only be undertaken by analyzing the impact of these elements on the actions taken by the members of the group being studied. Based on this assertion, and the lack of research related to leadership, collaboration, and sponsored

research in university settings, I have embarked on this program of research that I anticipate will catch "the attention of scholars of higher education administration" (Steve, 1995, p. 56) who are dealing with so many changes in postsecondary education. Specifically, this research addresses the gap in the literature in relation to the kind of leadership practiced by faculty members within collaborative funded research teams in a university setting.

Collaborative group endeavours, according to Eisentat and Cohen (1990), are popular because they involve individuals who represent a wide range of interests and allow for the creation of a forum where solutions can be developed in consultation with members of a team. In addition, collaborative groups spread the management and decision-making activities among members.

This multimember approach to conducting research also facilitates cognitive complexity, provides peer support, and increases accountability among members (Bensimon & Neumann, 1993). In these times, when universities are expected to "act as agents of progress" (Miller, 1998, p. 90), faculty members are increasingly expected to conduct research that advances "knowledge and economic growth" (Miller 1998, p. 90) and collaborative group based research is seen as an effective instrument in the pursuit of these goals (SSHRC, 2005).

In addition, it is understood that faculty members are developers of new knowledge and that "universities play a significant role" in the creation of "national R&D systems" (Miller 1998, p. 91). Given societal expectations regarding the role of the university in regards to knowledge generation, leadership on SSHRC funded research projects is a salient topic of interest to a wide audience, not just academics, especially in these changing

times, and expectations, and the role and value we place on our institutions of higher learning.

Leadership and the Evolving Role of the University

The context within which the research for this dissertation was undertaken was within a university setting; one that has been evolving since these institutions were founded in the medieval times. Politically and economically separate from government, these medieval entities were designed to provide religious education to the clergy, support to the elite classes, and teaching, research, and service for the improvement of society. They formulated their own rules "their own authorities and representatives" (Bazan, 1998, p. 24) and they established "through the plan of studies the required conditions for the exercise of the profession [and controlled] their own criteria of excellence" (p. 24).

These institutions eventually gave way to state supported universities that arose during the "middle of the eighteenth century, with the French Enlightenment period" (Vitz 1998, p. 106) when people were moving from rural to urban settings and becoming increasingly focused on science and technology. These changes continued into the mid 20th century as postwar development prompted rapid growth in postsecondary education.

By the mid 1970s, however, this growth gave way to an era of cutbacks and the boom and bust cycle that continued into the millennium. Policies developed during this time of arrested growth led to a political and economic transformation in Canada that contributed to a sustained reduction in financial support of postsecondary education (Vitz, 1998). The transformation included a reduction in "public investment, growing criticism of management in the academy,...demands for new measures and methods of accountability, unprecedented advances in instructional and communications technology,

competition from for-profit providers, and increased faculty and student mobility across international borders" (Gayle, et al., 2003, p. 3). It also meant that universities were now competing for scarce operating funds and research dollars in conjunction with an increased expectation that postsecondary education would be provided to a larger and more diverse group of students.

Competition has in turn, distorted the role of university presidents so that they are now "fundraisers, lobbyists, and public relations people, trying to shore up" institutions that are moving into a "postmodern period in which traditional supports are withering" (Vitz, 1998, p. 113). They feel compelled to provide evidence of their relevance in regards to providing services deemed to be cost effective and adaptable in these times of "ideologically inflamed demands and enthusiasms" (Elshtain, 1998, p. 48). And, being more accountable for money and program delivery has meant that approaches to leadership and management are based on business models that are now perceived by some to be superior in regards to providing "a stronger backbone to academic operations" (Reponen, 1999, p. 238).

The merging of this business model with traditional values, including academic freedom, ownership of intellectual property, and autonomy, is not without tensions and stress points but it has created a situation whereby a collaborative approach to knowledge creation is now seen as a more efficient way of obtaining financial support, moving programs of research forward, and inviting interdisciplinary research from within universities as well as from the local, national, and international communities. As a result of these changes, together with the pressure for more accountability in university administration and the development and dissemination of research, an enhanced focus on

collaborative research has emerged as a viable means of sharing financial and intellectual resources and optimizing the conduct and effectiveness of publicly funded research.

In contrast to the previously embedded norm of professional autonomy in regards to teaching and research, this current model that stresses accountability, efficiency, and cost effectiveness has meant that faculty members are now more likely to engage in collaborative research, assume positions on internal and external committees, and connect with the community. They are expected to be exemplary in all facets of their positions as teachers, researchers, grant writers, mentors, administrators, and collaborators who are connected to researchers from outside their discipline, and in their local, regional, national, and international communities.

These expectations go hand in hand with the assumption that they are in some manner accountable to their institutions, students, colleagues, and communities, even though the word accountable is not clearly defined (Kuchapski, 2001) despite the prolific use of this word by politicians, funding agency personnel, the Council of Ontario Universities, and university administrators. What is clear, however, is that researchers, when they obtain funds from private, nonprofit, charitable, or government funding agencies, are expected to oversee their projects in a timely and cost effective manner. In order to achieve this goal, in the context of a university that is largely funded by tax dollars and subject to political and public scrutiny, the role of leader is integral to the success of a research project. This role is difficult, requires training, is context specific, and may not be given the credit it is due in a university environment, in regards to recognizing the complexities associated with being a leader on a funded collaborative project, whether one is an established or new scholar transitioning into academia.

Leadership, Collaboration, and Funded Research

For new scholars transitioning into academia, this move means that they will engage in research and research costs money. Funding may be more easily obtained by joining a collaborative research group where they, and their colleagues, come together to share expertise, interests, and money.

When groups in academia are created, junior and senior researchers may join forces, and as a result, will be expected to think about how their actions, skills, and need for recognition will impact on the team's ability to produce excellent, cost effective, and timely research. Collectively they will need to establish procedures for sharing intellectual property, accolades, criticism, awards, and/or funding and new faculty members specifically, will need to familiarize themselves with their institution's ethical standards, collective agreements, and administrative procedures. New scholars, in particular, know that they will be evaluated on their achievements in the lecture hall, in journals, and in obtaining research funding. Thus, they understand the need to establish themselves in their roles as members of an academy, university, and larger community in order to further their personal and career growth.

Established faculty members also see the value in working collaboratively in their roles as mentors to more junior colleagues on these teams. They may assume leadership functions whereby they are expected to demonstrate that they are "capable of leading [and] maintaining an enthusiastic, energetic, and creative group of scientists" (Sapienza, 2004, p. 4) in order to maximize scarce resources. Along with less established members of the group, they will also be called upon to assess their own values, norms, and roles, as well as those that evolve from within their own institutions and the new group that is forming.

Thus all members of a collaborative research group, including the principal investigator, coinvestigators, team members, collaborators, and students, are expected to be aware of group members' skills, needs, and respective roles in their universities, research community, and the project itself in order to create a smooth functioning group.

These groups, ensconced in academia, are unique but they are also vulnerable to some of the processes and challenges that other nonacademic groups encounter (Oandasan, et al., 2006). For example, in most settings it is important that group leaders understand the aspirations, goals, and rewards that other members feel are important once the group is created and as it develops over time. In addition, leaders need to understand and adapt to changes in environments within and outside of the university that impact on the functioning of the group.

The impact of internal and external forces can diminish the chances of a group surviving, therefore, effective leadership on collaborative funded projects has grown in importance. Keeping group members focused on agreed upon goals, "changing value contexts" (Thom, 1993, p. 101), and the importance of rethinking "entrenched routines" (Arrow, McGrath, & Berdahl, 2000, p. 182) has meant that leaders within these groups are now facing increasingly more complex and time consuming roles.

Leaders on funded projects are expected to deal with group and individual values and the "widely varying views on how to arrive at values" (Thom, 1993, p. 101). As the research group grows, evolves, and reacts to forces from within its ranks, it is also impacted by values that may change outside and within the university context. For example, researchers and their evaluators (e.g., deans, chairs, peer reviewers, granting councils) are becoming increasingly cognizant of the time and skills needed to create and

implement collaborative research projects that meet the needs of diverse individuals, funding agencies, and university promotion and tenure procedures. Leaders on these projects may also engage in lobbying university administrators and government policy makers in regards to their recognition of, and compensation for, time and financial resources that are expended by members of the collaborative group when they engage in this kind of research.

Other forces have also had an impact on the state of funded collaborative research as postmodern theory development is increasingly focused on new ways of conducting research due to globalization, entrepreneurialism, and accountability. With the influx of faculty members at Canadian and American universities born outside North America, or who were hired from outside academia, teams of researchers now consist of people from various backgrounds, ideologies, and cultures. These teams are multidisciplinary in nature, can include people with diverse skills, and incorporate highly educated people from a variety of cultural, religious, and linguistic backgrounds. They also include a variety of opinions on leadership that is dependent upon the viewpoint of each of these group members.

Diversity has become increasingly prevalent in university settings and has played a major role in shaping research, teaching, and leadership within educational institutions. Conflicting values, ethics, and leadership styles are emerging as a result of the diverse populations now in universities and these emergent approaches to leadership pose challenges to the smooth functioning of a collaborative group, while at the same time creating opportunities for the development of results that may be more meaningful to the larger society.

Researchers know that it is important to engage in collaborative research projects especially during these times when the economy is volatile and resources are scarce. They know that they need to learn about emerging leadership theories and group processes involved in the development and maintenance of an effective collaborative endeavour especially in the context of this particular environment. Yet, policies and reward systems at the university may not be keeping pace with these changes (Kezar, Carducci, & Contreras-McGavin, (2006). In addition, faculty based researchers may not always believe that there is sufficient proof that collaboration is worth the effort as these groups are complex, time consuming, and fraught with issues related to group, individual, and leadership development (Kezar, et al., 2006).

The impact of leadership on funded research projects is significant and integral to the success of the project. The individuals who lead these projects are found from within the ranks of the faculty, not senior administrators, thus, it is important that they are provided with the skills and support needed to ensure a successful outcome is realized.

The Research Question

In theory and practice, engaging in collaborative research can provide an opportunity to learn about leadership and to obtain new knowledge from a diverse group that has a myriad of skills and expertise. The benefits may at times be matched or overshadowed by the challenges, however, (Rowley & Sherman, 2003) and collaborative projects funded by the Social Sciences and Humanities Research Council (SSHRC) are no different than other collaborative groups in their successes and failures.

Over the last 8 years, SSHRC has created and supported collaborative programs, such as the Community University Research Alliance (CURA), the Major Collaborative

Research Initiative (MCRI), the Initiative on the New Economy (INE), Strategic Knowledge Clusters (SKC), and various Centres of Excellence (COE), all of which support large projects involving researchers from academia and community partners outside the university. The reason for supporting these programs relates to the belief that some large scale projects can effectively contribute to the research enterprise, the Canadian economy, the ongoing development of intellectual capital in Canada, and the engagement of Canadians even those outside academia. A report disseminated by SSHRC in 2006 stated that SSHRC is broadening its direction to "emphasize building connections to maximize the impact and quality of humanities and social sciences research" (p. 5).

Based on the statement in the previous paragraph and the values espoused by SSHRC, such as excellence, independence, inclusiveness, impact, learning, building capacity, and accountability (SSHRC, 2006), there has been a move to fund research activities that will engage broader public support. SSHRC believes that collaborative projects can enhance the impact of the research results by engaging larger numbers of researchers and practitioners who will develop, and ultimately incorporate this new knowledge into everyday activities. In addition, these projects can lead to the development of stronger support structures and an enhanced network of projects that can form clusters that, in turn, can create other spinoff activities.

Given this belief that collaborative projects are thought to be more cost effective, and more likely to yield social, economic, and political results beneficial to Canadian society and inclusive of a variety of disciplines in the applied and academic world, more researchers are increasingly engaging in group projects funded by SSHRC. The benefits can be considerable but there are also challenges specifically, related to working with

groups of people whose values, reasons for involvement, or philosophical approach may not be compatible with other team members. These issues may be apparent early on, or as the project progresses; so, it is inherent upon the leadership of the collaborative group to work with all members to align individual needs of each collaborator with agreed upon goals, objectives, budgets, and accepted ethical and administrative rules and regulations. Leadership is complex, requiring the devotion of considerable amounts of time by all group members that will result in the creation of a leadership approach that ensures the development of a cohesive and functioning group.

The most effective approach to leadership on these projects has not been studied, even though it is integral to the success or failure of these projects in regards to achieving the goals articulated by the collaborative team in their SSHRC application. As a result of this lack of information and the important role that leadership plays on SSHRC funded collaborative research projects, I asked the following research question:

What is the impact of leadership on university based collaborative research projects funded by the Social Sciences and Humanities Research Council?

In order to answer this question, I interviewed 12 researchers who described their experiences to me in response to 11 subquestions that I posed to them during a 1-hour interview. These questions addressed issues related to what they think leadership means, how it was instituted on their projects, and the challenges and rewards associated with being in a collaborative research group. I asked them to describe to me how their group changed over time, to describe how it came into being, and to provide examples of exemplary and less than exemplary leadership. I was interested in knowing if they assumed

a leadership role on the project and unearthing their experiences of leadership and its role in the success, or lack thereof, on their SSHRC project.

My Conceptual Framework

I chose to conduct my research within a social constructivist paradigm. My attention was focused on "understanding various interpretations of leadership…as well as the interaction between individuals in leadership contexts" (Kezar et al., 2006, p. 20) and, like social constructivists, I believe that leadership emerges according to context and culture with social interaction being important in regards to the actions that take place between leaders and followers in a specific context. I value subjective experience and am conducting research that is designed "to interpret or understand what people perceive or attribute as leadership" [in order to] help leaders understand their frameworks and how their perspectives affect the leadership process" (Kezar, et al., 2006, p. 16-17).

This approach to educational research has been documented by theorists such as Dewey (1926), who suggest that constructivism is particularly applicable to educational research. Social constructivism focuses on lived experiences reflection, professional practice, and situated learning; all concepts that are accepted within the field of education.

Knowledge development, situated in socially constructed environments, attends to "human awareness or consciousness and its place in world affairs" (Jackson & Sorenson, 2007, pp. 162). It looks at social structures, such as "rules, and conditions that guide social action" (p. 163) and is helpful in the analysis of the way that actors and structures interact. It looks at social norms within specific contexts and does not subscribe to "mechanical positivist causality" (Jackson & Sorenson, 2007, p. 66) in regards to how humans interact in specific environments.

Constructivism is also based on the notion that human beliefs and behavior are developed within a specific context and time, thus, results cannot be generalized to other sites (Denzin & Lincoln, 1994). It stresses:

> relevance, rather than rigor as the quality criterion; grounded rather than a priori theory…an expansionist rather than a reductionist stance towards inquiry… an emergent rather than pre-ordinate design strategy… a natural in situ rather than a laboratory context…patterns as opposed to variables as the analytic unit; and invited interference – an invitational and participatory mode – as opposed to control in the exercise of research. (Denzin & Lincoln, 1994 p. 69)

As a result of my decision to situate my research within a social constructivist framework, I decided to conduct interviews with individuals who were engaged in SSHRC funded, collaborative research and as such were cognizant of the rewards and challenges associated with group research and leadership. Social constructivists value this method of data gathering and tend to focus on perceptions and interactions of leaders instead of their traits or behaviours which is what was once popular in regards to the leadership literature and research.

Although I do position my work in this paradigm, I know that my previous research and background also had an influence on how I conducted this research and at times I found myself moving towards a functionalist approach based on my previous experience in my master's program where I collected data via a survey. Throughout the process of undertaking this PhD dissertation I wrestled with issues related to my previous data collection activities that were in contrast to the work I was embarking on for this dissertation.

My previous experiences aside, I settled on social constructivism as being optimal for what I wanted to study and the results I was interested in obtaining. Because I had been involved in research administration for several years and had attended numerous conferences where people discussed issues related to leadership and collaborative research, I was quite confident that similar issues were emerging all over Canada. So, I felt it was not necessary to conduct a country-wide survey but instead, I wanted to find out more about researchers' personal reflections on leadership based on their own experiences.

After reviewing the various paradigms as listed on Table 1, it was clear to me that the most appropriate was constructivism with its focus on the experience of the participants and understanding their situation, viewpoint, context, and values. This approach would enable me to develop an understanding of the nature of the participants' experiences of leadership in a collaborative research group.

Other Leadership Paradigms

Table 1 compares *social constructivism*, *functionalism*, *critical theory*, and *postmodernism* in relation to the assumptions made about leadership, the purpose of and approach to research, the role of values, and, finally, the limitations of each model. Functionalism, for example, focuses on leadership traits and strategies with an emphasis on controlling the environment within which researchers conduct their studies. It is based on the notion that it is important to reduce the impact of the role that values and emotions might have on the research results. In the field of leadership, functionalist research has focused on revealing character traits of good leaders, then interpreting this information in such a manner that it can be generalized across populations (Kezar et al., 2006). With its focus on psychology, it emphasizes power as a method of influence and attempts to predict

Table 1

Leadership Paradigms

Social Constructivism	***Functionalism***	***Critical Theory***	***Postmodernism***
Leadership is socially constructed and individual experience is valued.	It is a social reality, is generalizable and has predictable outcomes.	Oppression, power, and control are the focus of critical theory and leadership. Social change can only occur when a leader maintains control.	Leadership is dependent upon local conditions, past history, and the vagueness of human experience (Kezar, et al., 2006).
It is designed to interpret what people believe, their viewpoint, and their understanding of leadership. It indicates how one's perspective can impact on the leadership process.	It is used to predict a leader's behavior and create ideas for the leader's action.	The purpose of critical their and leadership research is to develop strategies of leadership that ultimately lead to social change.	Postmodernists question the whole notion of leadership and whether it is just a means to an end.
Values regarding leadership change depending upon the circumstance, context, and individual perspective.	Research on leadership is based on values that are seen to be neutral.	Values are integral to studies in leadership and are related to empowerment, and social change (Kezar et al., 2006).	Leadership is complex, context and value laden. Values are related to the desire to obtain and maintain power.
Criticisms:	**Criticisms:**	**Criticisms:**	**Criticisms:**
Ideas for action are non specific and the role of power is not examined (Kezar et al., 2006).	Context, culture, and individual differences are not considered. It is designed to be generalizable and create universal principles (Kezar et al., 2006).	Leadership leading to outcomes that create societal change and allow for organizational survival are not addressed (Kezar et al., 2006).	Specific directives for action are not addressed. In addition, postmodernism as a concept is questioned (Kezar et al., 2006).

individual behaviour and then provide practical solutions to issues that have arisen.

Functionalist researchers tend to employ a quantitative approach to their data collection through the development and delivery of questionnaires, surveys, and other instruments that allow for the control of responses. They strive to develop methods of gathering data that will guard "against the impact of their beliefs and normative values on the conceptualization of leadership research" (Kezar et al., 2006, p. 18). They believe that "knowledge is grounded in facts that are conceptualized as objective statements of truth [and that] the goal of research is to develop predictions about behaviour so that human situations can be controlled" (p. 18). Research is conducted as a result of a desire to understand different perspectives and to explore changes over time.

Critical theory, on the other hand, is more concerned with Marxist ideas as they relate to economics, the market, societal class structures, power, and social activism (Kezar et al., 2006). It is more concerned with identifying and explaining societal issues than providing practical solutions that will encourage a transformation from the current reality to one that is more desirable (Horkheimer & Adorno, 1972). Critical theorists "question the value free representation of leadership and focus primarily on power dynamics… particularly oppression and abuses of power" (Kezar et al., 2006, p. 21). Much of the recent feminist research has been based on this approach with its emphasis on collaboration, partnerships, equity, activism, empowerment, and an ethics of care (Kezar et al., 2006).

The fourth paradigm is perhaps the most difficult to define in relation to leadership research as it is found in a variety of disciplines within the humanities, social sciences, and even the hard sciences with its emphasis on local experience, history, and context (Kezar et

al., 2006). Postmodern approaches to research involve the deconstruction of functionalist paradigms and question "whether universal truths even exist beyond our perceptions" (p. 23). Scholars who subscribe to this paradigm "question the characteristics identified in earlier trait, behavioural, and power or influence theories" (p. 23) and suggest that the viewpoint of the white, male, elite members of society have had undue influence on leadership research.

Postmodernists believe that changing times mean changing approaches to leadership that include paying attention to external and internal influences, language, discourse, and outdated definitions of leaders and followers. They believe that "linear and directive approaches to decision making and planning as well as individualistic forms of leadership" (Kezar et al., 2006, p. 25) are no longer appropriate given the interconnectedness of our world.

This interconnectedness is also evident when comparing the different paradigms, as they overlap; thus it is not always clear as to what paradigm is best. Based on my personal belief in our interconnectedness, the role that context plays, the emergence of what I think is a new area of research, and my literature review, I decided that the social constructivist model was most appropriate for me. This approach addressed my desire to extricate information related to researchers' perceptions and experiences within a particular context and time.

Why I Undertook this Study: My Personal and Professional Interest

My interest in policy development, research, and community-university joint ventures, is based on positions I have assumed in the nonprofit and education sectors over the years, including community planning and social welfare policy development. My three

most recent paid positions, within university settings, have provided me with the focus I needed to undertake this research as part of my PhD studies. My university experience has involved project management on a large research project, grants facilitation, and administrative and leadership functions, where my main task was to assist faculty members with their research endeavours in all phases of the research cycle. My first position at the university provided me with experiences related to the coordination of a community-university research alliance (CURA) project that was largely funded by the Social Sciences and Humanities Research Council and spearheaded by academics.

This initial position allowed me to be immersed in, and to learn about, academia, SSHRC, collaborative university based research, and all the challenges and rewards associated with leadership and project management on large scale academic projects. It put me in a position whereby I was called upon to take part in achieving goals specific to SSHRC, such as: (a) supervising numerous students whose background was integral to the goal of training highly qualified personnel or HQP; (b) disseminating research results to the community both orally and in writing, as per CURA program guidelines, in regards to ensuring the research results had a wide impact; (c) obtaining additional funds to conduct activities that were not attainable due to budget shortages but that were outlined in the original SSHRC application; (d) developing human resource policies, program schedules, and work plans to achieve goals within time and fiscal constraints; and (e) developing linkages between research and practice.

Some of these goals were new to me. As a community based practitioner and planner, my focus had been on identifying needs, conducting research, report writing, making recommendations, and finding funding to implement new programs based on the

results of the research. It took a considerable amount of time to understand why academics did not always share my viewpoint in relation to why research is conducted, the speed with which it is undertaken, and the importance, or lack thereof, paid to its immediate impact on programs or policies.

I experienced numerous challenges associated with coordinating the university based CURA project given my community based perspective and it was only when I started working in a research office as a grants facilitator that I began to understand the academic environment and its rewards, values, norms, and expectations. As time passed I learned a great deal about issues affecting faculty members including the pros and cons associated with obtaining grant money in relation to the leadership of research endeavours and the management of resources during the life of the project.

For example, one senior researcher told me that the best and worst day of an academic's life is hearing that he or she has been approved for a grant, especially one that involves working with partners who may be from outside his or her discipline, institution, or even country. I would recount his words to many others who were fortunate enough to obtain money to undertake collaborative research but who also relayed stories to me about the intricacies of developing and sustaining an effective project.

Faculty members' stories fascinated me and over time I found myself listening to more and more accounts of difficulties related to the group process, leadership, and project management. My interest in the topic grew as I talked to research administrators from across North America who recounted similar experiences. I learned that some research administration offices had project managers who assisted faculty members with activities,

such as managing budgets and hiring staff, so initially I had planned to study project management and its impact on academic research.

As I learned more on the job, I developed the knowledge, skills, and tools to assist faculty members with the management of their projects. I could not provide adequate assistance, however, in relation to the role that leadership played in the success or failure of funded research. As I reviewed the leadership and collaborative research, I soon discovered that there was very little information available, so I became interested in studying leadership instead of project management. Given my epistemological and ontological perspectives and my life-long involvement and interest in leadership and collaboration, I began to frame my research question and the 11 interview questions I asked participants.

These questions covered categories related to participants' understanding of leadership, challenges, and rewards associated with working in collaborative groups, the impact of leadership on the success of their project, their careers, and their desire to engage in further collaborative endeavours. The participants also provided information related to: (a) their role as leaders; (b) the quality and timeliness of the research results; (c) changes in the group dynamic as a result of the type of leadership practiced within their collaborative group; and (d) their definition of a successful SSHRC project. These questions are outlined in their entirety later in this dissertation.

Importance of the Research Topic

My research is important because it addresses a gap in the existing literature, is timely given our economic challenges and the emergence of the knowledge economy, and is also useful to SSHRC policy makers, politicians, university research administrators,

deans, chairs, and faculty members. It is important to average Canadians as well who expect funded research to be developed and implemented in an efficient and timely manner and the results to have some sort of *impact* on society, so that they collectively can derive some sort of benefit from the results. Since most of Canada's new knowledge is developed in universities, conducting my study in this milieu and on this topic is topical and relevant.

As major players in the research enterprise, faculty based researchers are expected to develop new knowledge quickly and to be adept at conceptualizing, creating, implementing, and disseminating their own individual research program within the context of today's cash strapped environment. As a result of this expectation, their training, and the institutions within which they work, researchers are finding that they are also obliged to engage in collaborative research in order to obtain funds, undertake tasks that require skills they may not have, and respond to the pressure to achieve results with a wide impact.

Collaborative group arrangements may be rewarding but they are also challenging as working within a diverse group means that members must engage in discussions regarding methodological, fiscal, time, leadership, management, and philosophical issues. Some of these challenges may be enough to derail a research project, therefore, it is incumbent upon the group to develop or adopt a leadership model or style that best meets the needs of the researchers in regards to producing excellent results, within the constraints imposed on them.

These constraints include the values, rewards, ethics, products, services, and the financial and time resources that are unique to this environment making a business style of leadership, for example, inappropriate in this milieu. In addition, leadership is now being conceived in a different light from that which was prevalent in previous years. For

example, past studies on university leadership focused on the *solo leader* who was the senior administrator and somehow was blessed with specific skills that ensured he or she rose to the top of the organization chart.

Current studies in leadership are now moving from the solo leader to other models that include various forms of shared leadership and decision making, now common in higher education (Sapienza, 2004). Past studies have, for the most part, focused on senior administrators (Sapienza, 2004) even though faculty members also assume leadership roles such as mentors of students, chairs of committees and departments, and leaders and managers of funded research.

Based on their ever-growing role as leaders and managers of research projects, faculty based researchers are becoming increasingly more accountable to their SSHRC funders and, in turn, politicians and the public who develop public policy and whose taxes pay for the research. SSHRC is aware of this focus on accountability and has recently completed an evaluation of its Standard Research Grant (SRG) and Research Development Initiative (RDI) programs to assess the impact of these initiatives in regards to the creation of new knowledge and understanding.

A study of collaborative leadership on SSHRC funded research projects is appropriate given the move towards collaborative research but also given the economic downturn and the importance placed on the efficient use of money provided to universities by tax payers. As funds become increasingly scarce, research administrators, policy makers, bureaucrats, and researchers themselves are compelled to make strong cases for why their research projects should be funded over others. In addition, once their research

projects are funded, they are being held accountable for making sure the funds are being spent efficiently and ensuring their results are timely and of use to society in some manner.

This word *accountable* has become increasingly prevalent in the language of persons who are in positions of influence in regards to awarding research grants and designing criteria for them at the pre and post-award stages. It has been used extensively over the last 25 years although it is unclear as to the exact meaning of the term but in the context of the poor economy, accountability increasingly focuses on saving money, and on process in regards to meeting goals, objectives, targets, or deliverables that are measurable and palatable to Canadians in some manner. The term increasingly involves some form of rational planning, implementing, monitoring, and evaluating (Kuchapski, 2001) with an emphasis on business, or political approaches that will generate knowledge that is developed to have some sort of positive impact on Canadian society.

The term *impact* and its relation to research is also unclear, but again, in these times of fiscal conservatism, it is increasingly associated with research results that will be of benefit to Canadians. Since research is closely aligned with "the advancement of knowledge and economic growth" (Miller, 1998, p. 90), funding agencies, specifically, the federal government and private foundations and industry, are demanding that research results have an impact on a wide audience within the local, regional, and/or global communities. Projects deemed to be inefficient, frivolous, or of minimal value to society, may be terminated or rejected at the application stage, reflecting a neo-liberal approach to research and new knowledge development.

Neo-liberalism with its emphasis on efficiency, working smarter, education as preparation for work, accountability, standard assessments, and the growth of the gross

national product has gained credibility with the current downturn in the economy. The neo-liberal approach and the language associated with it have had an impact on some of the research that is funded by taxpayers and private businesses. Therefore, researchers, who may not have previously placed a high value on ensuring their projects have an impact outside their discipline, are now wrestling with what accountability means in regards to themselves, their discipline, and a larger community.

They may be questioning their views on how and what they will research in regards to obtaining funds to conduct their work and if the funds they seek, for the kind of knowledge they wish to develop, are appropriate. Additionally, they may be assessing the merits of group research in relation to their time, topic, and skill set. As a result it is important that they have access to current and relevant information related to working in collaborative groups that SSHRC (2005) policy makers and university administrators (Eisentat & Cohen, 1990) feel is an effective and efficient method of collecting and disseminating data.

Given the current fiscal and educational environments and the lack of data related to leadership and funded academic research, the results of this study will address the gap in the literature and provide a basis upon which ongoing research in this field can grow. The results of my work can be translated into new leadership curriculum and the development of training programs or workshops that can be designed to assist faculty members as they embark on their collaborative projects. They can also be translated into policies and procedures for research projects that may be tailored to other settings within the university, and the community and for university-community joint projects as well.

Definitions of Key Terms Used in this Dissertation

Terms related to leadership and group process are used differently in diverse contexts, so clarification is needed in order to ensure that the reader understands the vocabulary being used in this dissertation. This section highlights key terms including collaboration, leadership, and project management, and their meanings as they are being used within the confines of this research. It also includes definitions of terms that SSHRC uses to describe the various roles that recipients of their grants assume in the pre and post-award stages. Terms related to the various types of leadership are not included in this section but are explained later in this dissertation.

The first definition is related to *collaboration;* a process whereby mutual learning between two or more people is encouraged. Collaboration involves the recognition of each member's skills and the "interdependence in one another's success" (Kouzes & Posner, 2003, p. 68). The word implies that group members are willing to "invest themselves in the making and maintenance of a team" (Bensimon & Neumann, 1993, p. 110). It "results in connectiveness [and] synergistic environments in which leaders and colleagues elicit and offer support, focus on cooperativeness and inclusiveness, and embrace shared ownership" (Wolverton et al., 2001, p. 44). In educational settings, "being truly collaborative in today's context requires us to build working cultures of trust" (Blanche, 2008, p. 19). It involves flexible leadership, intentionality, inclusiveness, clarity of vision and "parameters for collective work" (Blanche, 2008, p. 17).

Collaboration encourages a collective good will, a sense of equity among partners and colleagues, and a sharing of expertise. It differs from the word *cooperation* that is

commonly understood to mean working together for a common goal, but not necessarily mutual learning or a significant investment of time, skills, and other resources.

Both collaborative and cooperative groups include the development of a leadership model that meets their specific needs. An accepted definition of the term *leadership* is difficult. According to Bass (1990), leadership has many different definitions but "there is sufficient similarity among definitions to permit a rough scheme of classification" (p. 11). He suggests that it is "the focus of group processes" (p. 11), personality, and behaviour. It is used as a method "of inducing compliance," (p. 11) exercising influence, and persuading participants to move in a particular direction to achieve specific goals. Leadership has a power relation, involves different forms of interaction, and is a catalyst for initiating group structure and differentiated roles within the group (p. 11). It is a "shared construction of meaning [that] requires skill in the creation of meaning that is authentic to oneself and one's community" (Bensimon & Neumann, 1993, p. xv).

Leadership within a collaborative, university-based, research group may manifest itself in many ways depending upon the makeup of the group, its purpose, the project, and the time and money allotted to the specific enterprise. It is a necessary element of any team that wishes to adapt to "technologically complex and information-rich environments… [whose central premise is] that learning is the most important activity of modern day organizations" (Bensimon & Neumann, 1993, p. ix).

Project management is also a necessary element of any team and is often interchanged with leadership, but in this dissertation, project management is used as a term to describe the structure, tools, and procedures needed to run a project, collaborative group, business, or other entity. "Management is the '*tactical process*' of executing and achieving

the mission: Management's concerns lie with the details and the day-to-day grind without which a vision can't become a reality" (Loeb & Kindel, 1999, p. 130).

All of the aforementioned terms are used in a variety of contexts, not just when describing collaborative groups supported by SSHRC which is an:

> arm's-length federal agency [that] promotes and supports university-based research and training in the social sciences and humanities. Created by an act of Parliament in 1977, SSHRC is governed by a 22-member council that reports to Parliament through the Minister of Industry. (SSHRC, 2005, p. 24)

In its written materials and web site, SSHRC defines specific roles that collaborators assume when engaged on their funded projects.

For example, *principal investigator* (PI) is a term used by SSHRC to describe the individual who is assumed to be the lead researcher on the project. This individual is charged with responsibilities associated with ensuring the project is completed, the finances are in order, the integrity of the research is maintained, established ethical guidelines are followed, and required annual and final reports are submitted on time.

A *coinvestigator* or *coapplicant* is the individual who applies for a SSHRC grant in conjunction with the PI and who is expected to assume full responsibility for the project should the PI be unable to fulfill the duties associated with this role. The coinvestigator is expected to "contribute to the intellectual direction of the project and to a lesser degree, the administration of it" (SSHRC, 2008, p. 1).

Next in line, in terms of responsibility to SSHRC, is a *collaborator*, who, according to SSHRC (2008), "is a scholar or researcher who may play various roles in a research project or program of research, including participating in setting its intellectual direction"

(p. 1). This individual does not necessarily have to be employed at a university but he or she is a member of a *collaborative group* that is understood to mean two or more individuals who work interdependently.

Members of SSHRC funded collaborative groups include new and established scholars. New scholars are defined as individuals who have not had sufficient time to establish an extensive research record but plan to develop one. Normally they are deemed new scholars if they have graduated in the last 5 years with their highest degree or within five years of accepting a tenure or tenure track position, or had their careers delayed for some reason (SSHRC, 2010).

These new scholars may be part of a collaborative group that also includes more established researchers. No matter what the mix of new or established, however, collaborative groups are developed over time to include individuals who are accountable to one another and who have common and understood sets of values, objectives, norms, and goals. These scholars come together to form a group that is focused on the creation of a collective output, to share leadership, insights, and responsibility, collective learning, and accolades. They make decisions that enhance the productivity of individuals and ultimately of the entire entity.

SSHRC also uses terms, such as *researcher, scholar, faculty member, and academic* to describe individuals who are engaged in collaborative research projects that the council funds. These individuals are most often PhD graduates employed at a university and are interchanged in this dissertation and understood to have the same meaning.

Scope, Limitations, and Assumptions of this Research

The data collected for this dissertation were gathered over a 4-month period in the summer and fall of 2009. The 12 interviews were completed at one university in Southern Ontario due primarily to financial constraints in regards to costs associated with travel. Since there was no attempt to ensure the sample was representative of a larger population, or to draw comparisons between universities, there was no reason to go to other institutions to conduct my interviews. I interviewed individuals from both genders, a variety of age groups, career stages, and linguistic backgrounds but the basis upon which I contacted participants was due primarily to their involvement in a SSHRC funded collaborative research project, so other factors were not significant in regards to recruitment.

The development and implementation of the research question, method, and analysis was undertaken by me, and as is the case with all researchers, I have a particular viewpoint and language. Both are a result of my work experience and education specifically, in urban and regional planning, social welfare policy development, and education. These disciplines focus on the type of written language that is found in reports often produced by government agencies so the years of experience I have had in government and nonprofit agencies and in the grant writing field have had an impact on my language development. The kind of communication I have been immersed in prior to entering the academic environment, encompasses a vocabulary that includes terms such as outcomes, results, impact, and other functionalist language. It has been an ongoing struggle for me to temper my writing with what is expected in academia and especially in a social constructivist paradigm.

Finally, as with any endeavour, there are time constraints, in relation to family, paid employment, and volunteer work and my PhD studies have been bounded by these kinds of constraints as is normal for any mature student.

Dissertation Organization

This dissertation is organized into 6 chapters with the first setting the stage for the dissertation by providing information on the conceptual framework, my personal interest and importance of the topic, background, context, definition of terms, and the limitations and assumptions. Chapter One also contains a preliminary overview of leadership, information related to SSHRC programs, the important role that research plays in our country's development of new knowledge, a brief history of the growth of academia, and the current situation in regard to Canadian values as they relate to accountability and efficiency in the conduct of research.

Chapter Two provides information on the literature related to leadership and collaboration in addition to a brief historical overview of studies in leadership. For example, topics include: leadership and group process; leadership as defined by personality traits, as a form of compliance, power, influence or persuasion, as social interaction; and as a differentiated role. Leadership is also discussed in relation to gender, ethnicity, age, and physical and mental acumen. The term is compared to the word *management*, and theories of leadership are summarized in a table format. The second part of this chapter addresses collaboration in relation to group development, process, power, conflict resolution, project management, and diversity. There is also a section on collaboration between academic institutions and the community, and another on technology and knowledge sharing.

Chapter Three outlines the qualitative method of data collection used for this dissertation, the reasoning behind incorporating a focused interview for this research study, the interview questions, ethical considerations, and my reflections on the data collection process in regards to the use of technology, my method of organizing the data, and challenges that arose as I embarked on this project.

Chapter Four provides a summary of the findings organized by question. Interesting insights and patterns are highlighted, quotes from the participants are inserted, and a discussion of the findings is included.

Chapter Five takes the results noted in the previous chapter and discusses them in relation to the research question. Different styles of leadership are highlighted such as laissez-fair, autocratic, benevolent dictatorship, and various forms of shared, democratic, collaborative, consensual, and participatory. A section is also devoted to leadership and the nonacademic on a research grant, and finally a discussion of the impact of leadership on SSHRC funded research that was uncovered as a result of this study.

The final chapter, Chapter Six draws together the conclusions of the study, indicates how it adds to the existing literature, and outlines implications for future research and administrative practice. This chapter provides information regarding what I believe has emerged as an optimal type of leadership for SSHRC funded collaborative projects, and I have named it the *functional, collaborative expert*. Based on my findings, I suggest public policy initiatives that might be considered and future research possibilities in this untapped and emerging field of study.

CHAPTER TWO: RESEARCH RELATED TO LEADERSHIP AND COLLABORATION

The understanding of leadership has figured strongly in the quest for knowledge and has traditionally focused on "leaders' competencies, ambitions, and shortcomings; leaders' rights and privileges; and the leaders' duties and obligations" (Bass, 1990, p. 3). Interest in this topic dates back to the ancient civilizations and was the focus of philosophers, such as Confucius (551-479 B.C.), Plato (427-347 B.C), and Aristotle (384-322 B.C.), among others.

Confucius wrote about how important it was for a leader to set a "moral example and to manipulate rewards and punishments for teaching what is right and good" (Bass, 1990, p. 3). He also focused on power and morality and, although he did not refer to leadership explicitly in the manner in which we discuss it today, he addressed the role of the emperor as leader and how his powers should be limited (Van Norden, 2001).

Plato, in the *Republic*, "looked at the requirements for the ideal leader of the ideal state" (Bass, 1990, p. 4) and he envisioned leaders to be "the most important element of good government, educated to rule with order and reason" (p. 4). He believed that a "utopian society [was one] led by an elite class of guardians…trained from birth for the task of ruling" where everything is tightly "controlled by the guardians for the good of the state as a whole [with] little thought of personal freedom or individual rights" (Stokes, 2004, p. 23).

Plato also felt that the youth of his day were being corrupted by gods who behaved inappropriately. These "petty, carnal, and vengeful" (Morris, 1999, p. 121) beings were glorified in prose and poetry leading him to admonish poets who, he felt, had a moral

obligation not to write about their follies in the event that young people would attempt to emulate them.

In *Politics*, Aristotle wrote about a "lack of virtue among those who wanted to be leaders. He pointed to the need to educate youth for such leadership" (Bass, 1990, p. 4) and focused on the moral character of individuals or their "virtue ethics" (Stokes, 2004, p. 25). He believed that humans were driven by some kind of final purpose or goal that could explain their behaviour.

Leadership theories and approaches have been well documented since these times (Bass, 1990). For example, in his book, *The Prince,* (1515/1908) Machiavelli assumed a *how-to* approach to leadership whereby he outlined what skills, attributes, and tactics leaders needed to acquire in order to achieve goals that they identified as being worthy (as cited in Stokes, 2004). His thoughts on leadership were that leaders needed to be "practical, rarely speculating on the rightness or wrongness of the methods adumbrated therein" (as cited in Stokes, 2004, p. 59) and, although he has been maligned by many historians, it is widely understood that his writings were a reflection of his time and the context within which he was living. His book, based on his understanding of the world, provided leaders with the tools he felt they needed to enhance their leadership capabilities in the early 1500s (Machiavelli, 1515/1908).

Over time this Machiavellian approach, related to providing guidelines for leaders, has been followed in relation to the current *quick fix* publication style evident in books such as *Leadership for Dummies* (Loeb & Kindel, 1999). Designed to assist busy leaders as they assume positions in fast paced, technology driven environments, these kinds of books,

and corresponding workshops, courses, and articles have emerged in popular culture as well as in scholarly circles.

Attempts to provide leaders with definitive guidelines on leadership in any setting have failed however, as good leadership skills are honed in specific contexts to meet specific needs. In this postmodern era it is assumed that leadership is socially constructed and requires that individuals understand past and current approaches to leadership and that they possess the ability to scan the environment, predict what changes will impact on them, and make decisions based on this knowledge. With over 4,700 studies in existence on leadership (Bass, 1990), there are no quick fixes that can be universally applied and neither are there universal tools that can be used to create a collaborative environment in any setting including universities.

Leadership Studies in the Last Century

Previous leadership studies have focused on "universal leadership characteristics … power and hierarchy…behaviour and outcomes" (Kezar, et al., 2006, p. 34) and they were based on individuals. These studies did not necessarily consider the context, which is in contrast to the studies now being undertaken by researchers such as Bass (1990), Bensimon & Neumann (1993), Burns (1978; 2003), Hall (1990), Kezar, Carducci & Contreras-McGavin (2006), Senge (1994), Yukl (2006), and Yukl and Lepsinger (2004).

Today, it is generally agreed that there is no one single element that creates a good leader. The situation, time, group dynamics, purpose of the group, impact of external factors, and the personality, skills, and traits of leaders and followers all work in concert to create an environment within which leaders thrive or fail. In addition, learning,

empowerment, change, and the influence of collaboration and group dynamics all impact on how leadership is enacted.

Good leaders are now seen as persons who can share power and who make it their business to be aware of the skills and aspirations of group members. They understand that the "individual perception and interaction" (Kezar et al., 2006, p. 19) of each team member is important information for leaders to possess and they use this knowledge to determine how best to utilize scarce human resources in a manner that will result in positive outcomes for the group. Much has been written during the last 25 years about leadership and the changes that have taken place in regards to the focus of the research and the resulting models. Gary Yukl's (2006, p. 279) model for example, is one that has emerged during this time.

Yukl's (2006) representation illustrates the kinds of complex interactions that he believes occur between members as leadership changes over time based on a myriad of factors that influence the group. His model typifies what he believes is a superior approach to leading as he dismisses the concept of leader as omnipotent, powerful, all knowing, and one who wields influence due to his or her ability to exert power over others to obtain specific goals.

Yukl (2006) outlines a variety of interrelationships between a leader's traits, power position, and behaviour with *intervening*, *exogenous situation*, and *end result*, variables all of which impact on the ability of a leader to motivate people to achieve specific outcomes. His model acknowledges the importance of leadership traits, the need to exert various forms of power to achieve desired goals, and the leadership behaviours that influence the actions of an individual or group. Where he deviates from past studies on leadership,

however, is his assertion that traits, power position, and behaviour cannot be isolated from outside influences or variables.

For example, a leader may possess characteristics that have traditionally been considered as necessary for a person who is in a power position, such as self-confidence, emotional maturity, and a high energy level, but *intervening variables* such as the skill set of the team and subordinate effort and commitment, can exert enough power over the activities of the group that the leader alone cannot mitigate. Yukl's (2006) model, with its dotted and solid arrows, indicates that there is a complex, nonlinear, series of events and decisions that impact on the ability of a leader to achieve specific goals and objectives.

Yukl (2006) graphically expresses his belief that leaders need to assess internal and external forces that impact on the group and the decisions the leader will make to achieve specific outcomes. He indicates that technology, formal authority structures, legal-political constraints, and individual team members' values all impact on how a task will be completed and outcomes achieved.

Ideas from this model have formed the basis of much of the leadership research over the last 25 years and have been further refined in Yukl's publication coauthored by Richard Lepsinger, entitled *Flexible Leadership* (Yukl & Lepsinger, 2004). In this publication they write that leadership can be learned and is not based on "mysterious gifts that only a few heroic leaders possess" (p. 12). Instead, leadership should be flexible "in response to continually changing situations" (p. 12), and based on the need to "find an appropriate balance among competing demands and the need for coordinated action by leaders across levels and subunits" (p. 12).

It is now acknowledged that good leaders possess multifaceted skills that are learned and tested by a myriad set of influences that impact on them and the group members with whom they interact. It is also accepted that the concept of leadership has changed over the years as has the focus of the research. The following sections outline the various approaches to leadership that have been studied over the years.

Influenced by a Group Process

In their book, *Power up: Transforming organizations through shared leadership,* Bradford and Cohen (1998) state that "the traditional relationship of the leader and the led in the business world is undergoing a fundamental change" (p. xv) and that change is in the form of "worker empowerment and participative management programs" (p. xvi) and passage through the heroic age of leadership. They believe that we can no longer rely on the leader as hero but one who understands the role that is played by participants within a group and the appreciation and development of their skills to enhance the greater good of the organization through a variety of approaches.

Bradford and Cohen (1998) are supported in their assertion by a growing body of research related to group process (Arrow et al., 2000) and the impact that changes in the group can have on goal achievement and deciding on a leader. Part of this process involves the use of *directed adaptation* (Arrow et al., 2000, p. 176) whereby one or more leaders assess the changing environment within the group and suggest an alteration in the vision. This approach is based on the premise that leadership is defined from within the group and that there is an ability to affect change from within by the leadership.

Directed adaptation involves four key elements, none of which includes the installation of a heroic or divine leader. These elements include:

> 1) *information processing* whereby group members rely on their collective experiences and knowledge to share a similar vision; 2) *planning* to ensure that all members share in the creation of strategies for movement to an agreed upon direction; 3) *choices* developed by group members so that they can agree upon a plan of action; and 4) *self regulation* when members join together and coordinate their tasks to execute the plan. (Arrow et al., 2000, pp. 176-178)

This directed approach is embraced by groups in order to ensure the retention of appropriate procedures and people as the goals of the group fluctuate to meet the needs of members and their raison d'être. Leaders from within the group may change as different situations arise and they may emerge, engage, and then recede, but the ability of the group and the chosen leader(s) to facilitate this movement can be the catalyst for its success or failure. For example, groups may be formulated based on the tasks that need to be completed and the resources that are essential to accomplish them.

Assuming that one person does not possess all the skills necessary to run an entire project, the leadership may change as the individual with the prerequisite skills for a particular task assumes this role on the project until the task is complete. At that point another individual may take over the role of leader as the project progresses.

Leadership may also change due to the influence of powerful outsiders whose goals may not coincide with the group's, resulting in potential "conflict, negotiation, and attempted manipulation by both parties" (Arrow et al., 2000, p. 177). These external forces may have an impact on how the leadership from within the group responds and the leader charged with mitigating these influences may not always be the established or usual leader at the time when these influences have their impact on the group.

The kind of environment within which groups can adapt or diminish, is referred to by Arrow et al. (2000) as the *fitness landscape*, or a context specific area where rewards, costs, goals, structures, leaders, and influences are changing on a regular basis to ensure the group process evolves to meet new challenges. This process of adaptation and movement to more fit landscapes requires that leadership be attuned to the changes while adapting new "behaviours and structures" (p. 179) that will maintain the group and minimize obstacles it might encounter on the way to achieving its goals.

In this scenario, leaders emerge, relocate, or step back according to the interaction among members and between the group and outsiders. Therefore, it is incumbent upon the members to be aware of their collective skills, outside forces acting on them, and the vision of the collaborative group (Bradford & Cohen, 1998). The kind of leadership that emerges as a result of changes in the group process may be better equipped to react to changes in the environment in a timely manner, but strong leadership is needed to ensure that group processes do not derail the success of the collaboration.

According to Bradford and Cohen (1998), strong leadership in this context does not mean that one individual guides the group, but rather there is a shared understanding that members are not "differential subordinates who offer only opinions" (p. 132) but rather they are "committed junior partners" (p. 132) who hold each other accountable. They take part in key decisions, become galvanized in their support of each other and their collective vision, and agree to utilize their skills and alter their roles to meet the needs of the group.

The challenges inherent in a group process approach to leadership are embedded in the attitudes of what constitutes a good leader, the historical role of followers, and the structures that may be in place from within and outside the group. Too many people have

been involved in hierarchical organizations where power, money, gender, or career status have played a major part in placing people in particular roles. The heroic leader is difficult to dispel and has some appeal to those who do not wish to be accountable or do not know how to be accountable.

Skilled leadership within this situation involves creating a group comprised of individuals who are highly motivated towards a task and willing to take risks, concede, forge ahead, or alter course to a fitness landscape where they may not be comfortable. Group members are required to assist and support others who may be accepting tasks that are out of their realm of experience or comfort. They agree that leadership will be shared and dependent upon forces that are impacting on the group and the skills needed to address these forces. They also agree that rewards and sacrifices will be negotiated according to the shared vision and the particular needs of the group members at specific times within the life of the project.

In short, leadership as a group process is one that is impacted by change and the group's "adaptive response to the impact of events" (Arrow et al., 2000, p. 39) and the "emergence of new regularities or patterns across time" (p. 40).

Defined by Personality Traits

Much of the leadership research has focused on the individual and has been rooted in "psychology and a psychological framework" (Slater, 1995, p. 450) that evolved around collecting data related to the traits that leaders possessed. Early on when these studies were undertaken, it was assumed that these individuals rose above their followers and their ability to break away from the masses was often assumed to be based on some kind of personality trait or traits that set them apart. Since North Americans valued the rugged

individualist, those people who were seen to be in leadership positions were viewed in a more positive light creating a bias against followers (Slater, 1995). This belief remains the same today.

As a result of this emphasis on the individual, it appears that the proliferation of trait specific leadership research early on in the development of this discipline was possibly the cause of this fixation. Good leaders were seen in a structural-functionalist light, meaning that it was believed that they possessed a set of behaviours and skills that allowed them to evaluate, assist, help, integrate, design, allocate, and set goals better than others (Slater, 1995). These individuals were charged with ensuring that the organization was efficient, effective, and able to ensure unity of purpose.

Trait specific studies were undertaken by observing behaviours of individuals in group situations, rating of individuals by observers, selecting and rating persons who were in leadership positions, asking group members to identify leaders within their groups, and an "analysis of biographical and case history data" (Bass, 1990, p. 59). As these studies began to proliferate (between the years of 1933 to 1970), it became apparent that traits could not easily be separated from context (Bass, 1990), but information did result that provided some insight as to what traits were seen as desirable for leaders.

Studies found that chronological age did not consistently appear to be a factor and neither did height or weight, but good health, energy, and physique did seem to matter as did athletic prowess (Bass, 1990, p. 62). Overall appearance of the leader seemed to be important in some circumstances and not in others while there was some indication that the importance of appearance was gender specific with an enhanced emphasis placed on males (Bass, 1990).

The ability for leaders to communicate was seen in a positive light in relation to the tone of their voice, their ability to fashion an argument, fluency, and talkativeness. In addition, leaders were seen as above average in intelligence, but not brilliant, had some kind of specialized knowledge, and were considered by others to be individuals who could get things done (Bass, 1990).

These studies also showed that sound judgment and decision-making abilities were valued traits that leaders were seen to possess as were situational awareness and the ability to adapt and change. Leaders were seen as being original thinkers, but not necessarily extroverts, dominant, or completely self-sufficient. They were expected to take initiative and accept responsibility for the group's successes and failures and be ambitious, tenacious, conscientious, and reliable (Yukl & Lepsinger, 2004). They exhibited strength in their convictions, self-confidence, a low level of modesty, and were able to control their moods often using humour in the process. These studies also showed that emotional self control was important, but that leaders were also excitable and somewhat quick to express anger (Bass, 1990).

Socioeconomic status was shown to be important as was social and physical mobility and participation in group activities. Sociability, tact, and diplomacy were also considered as desirable in a leader as was popularity and the ability to elicit cooperation from group members. It was also shown, however, that these traits were considered to be "traits of consequence" suggesting that the leader was impacted by "situational effects and...the interaction of others" (Bass, 1990, p. 87).

In summary, leaders (a) have been typified as intelligent and high achievers; (b) are of relatively high status in relation to stature and money; (c) are aware of their

surroundings and the impact on them and the group with whom they interact; and (d) accept responsibility for their actions. They are self confident and persistent, able to tolerate high levels of stress, and they have the capacity to be influenced, but also influence the behaviour of others.

Compliance, Power Relationship, Influence, or Persuasion

Bertrand Russell (1938) wrote that "of the infinite desires of man, the chief are the desires for power and glory" (p. 3). Power manifests itself in many ways and defining leadership as a form of power has historically been the focus of studies in leadership until the middle part of the last century. For example, as discussed earlier in this dissertation, leadership and power have been synonymous with kings, queens, military leaders, the rich, physically stronger individuals and, more recently, in Marxist and some feminist literature as leader and follower. Although considered to be outdated in this postmodern era, this kind of thinking still persists in relation to leader, follower, and inequalities "in the distribution of power" (p. 8) and it continues to occupy a significant proportion of the literature and psyche of many of us who go to work places every day where we are part of a hierarchal organization complete with policies and procedures that we are expected to follow.

Power in the form of a leader who exerts some control over others is a "force that can be applied to work" (Bass, 1990, p. 225) and manifests itself in a leader's "ability to take actions and to initiate interactions" (p. 225). It is a viewpoint that presupposes that there is a leader and follower and focuses on a conception that "power is restricted to issues of agency, to the detriment of any adequate conception of the linkage between agency and structure" (Clegg, 1989, p. 75).

Wrong (1988) writes that power is the "capacity to produce intended and foreseen effects on others" (p. 21) and, although differentiating between *power over* and *influence* or *persuasion* Wrong admits that many times these terms are used interchangeably in the literature. Leadership and influence are seen as a function of power. "Power is the potential to influence" (Bass, 1990, p. 227) and people are predisposed to follow leaders who are seen to be fulfilling their needs, wants, desires, and hopes (Burns, 1978). In this context, it is expected that the leader will exert personal or positional power that influences others to achieve specific goals not only to benefit the leader but also the group members (Bass, 1990).

Behaviour

Prior to WWII, studies had focused on leadership traits but over time this object of research was abandoned as it was clear that traits alone could not explain why some people assume leadership positions. Group dynamics, situational factors, and interactions between and among groups and group members had a significant impact even though some studies did indicate that particular traits seemed to be present in a number of leaders, as noted earlier in this dissertation. As this line of research did not illuminate the leadership debate, the focus turned to a behavioural approach and over time two major areas of study emerged: consideration (Bass, 1990) or socioemotional (Hall, 1990), and structure initiation (Bass, 1990) or authoritarian (Hall, 1990).

Leaders who are concerned with the welfare of group members, are employee oriented, democratic, and considerate of others, fall within the *consideration* category. Other individuals who are more focused on power and task completion fall within the *structure initiation* group and tend to be more authoritarian. These behavioural examples

represent opposite ends of a continuum along which leaders may reside dependent upon a variety of factors that may be influencing them at the time.

Social Interaction

According to Harris (2008), all members of a group have the potential to become leaders even if they have been in subordinate positions. This movement from one position to another can result from a process that involves social interaction between individuals within a group. Referred to as *distributed leadership*, this approach assumes that group members share their skills, expertise, and leadership roles in a manner that is meaningful and useful to the individuals and the group as a whole. This sharing of leadership may be planned with, but not done to, particular people in the group, or it may arise as a result of an uncoordinated series of events that allows individuals to assume this role at various times during the life cycle of the group.

Distributive leadership is a method of responding to change, developing structures to accommodate these changes, and creating *learning communities* (Senge, 1994) whereby all members "draw on their collective powers of a shared vision" while valuing "relationships that focus on the continuing care for, and development of, their human resources in pursuit of continuous improvement" (Bezzina, 2006, p. 79).

Shared, team, and *democratic* are other terms that are interchanged with distributive leadership and all of them discard the concept of leader as hero in favour of the belief that leaders emerge from within groups. This kind of leadership has become popular in educational settings and shown to be an effective way of achieving goals (Harris, 2008) by enabling groups to self-manage and encouraging leaders and followers to assume various roles as the group dynamics change over time.

Differentiated Role

"Studies carried out in laboratories have consistently found that leadership is actually a differentiated process with tasks or instrumental activities separated from socio-emotional or expressive activities" (Hall, 1990, p. 137). Leadership rests in the hands of more than one individual and is not always associated with supervision of others. Good leaders go "above and beyond the basic requirements" (p. 137) and are able to persuade others to be innovative, engaged, and committed, even if they do not have direct supervision over them.

Leadership can occur at any level within any organization but most leaders assume four key roles including: (a) defining the vision, mission, and role of the organization; (b) ensuring that new policies are built into the existing structure or developing new structures; (c) defending the organization by balancing the values while at the same time working on public relations; and (d) maintaining order and reducing conflict (Selznick, 1957, p. 62-63).

Gender

Calas and Smircich (1999) believe that "organizational scholarship has been primarily a literature written by men for men and about men: how to gain cooperation of men to achieve organizational ends through rationality: how to *man*/age" (p. 213). They provide a detailed account of the various feminist approaches to organizational studies and review radical feminism and psychoanalytic, Marxist, poststructuralist, socialist, and postcolonial feminist theories. Their exhaustive look at feminism and organizational studies includes a variety of viewpoints and history of feminist thought that is supported by over 300 references.

They outline the growth of gender specific organizational literature from the 1960s onward with its emphasis on liberal political theory focusing on "women as people" (Calas & Smircich, 1999, p. 217) and "the pursuit of sexual *equity* (gender justice) rather than the elimination of sexual *inequality*" (p. 217). Calas and Smircich also note that as in the more mainstream literature, the focus of study has changed (e.g., leader as charismatic, as a function of group dynamics, as ingrained, or as a function of social structure or psychological/personal characteristics).

Considerable attention is still being paid to the study of differences between genders however, in relation to female uses of power, job related stress, job satisfaction, commitment to the job, and recruitment, selection, and promotion processes as being biased towards the development of men. The authors note that policy creation has been limited as most studies on this topic continue to say that more study is needed.

Feminist organizational and leadership research has focused on the social and psychological differences that women experience. For example, Tong (1989) suggests that social role differentiation is the primary mechanism used to define and place women in various organizations and these societal roles have been created by men. In contrast, the psychological view of women has focused on them as individuals who are different from men. Based largely on Freud's perception of women as being biologically and ethically inferior, it is believed that women do not attain "men's strong superegos" (Calas & Smircich, 1999, p. 223) and they "lack men's strong sense of justice" (p. 223). Instead, women are seen as possessing an *ethics of care* approach to justice and morality (Gilligan, 1982). They are "less likely to obey authority, [and] are more influenced by feelings rather than reason" (Calas & Smircich, 1999, p. 223).

The literature that relates to women in leadership roles suggests that they are afraid to succeed, are less committed, are irrational (Calas & Smircich, 1999), less able to make quick and decisive decisions, are emotional, more "attentive to upward communication, passive, and more indirect, non-confrontational, and prone to relying on influence tactics in their leadership style" (Bass, 1990, p. 712). In addition, women have traditionally been seen to value a leadership style where power is seen as a shared endeavour (*power with)* rather than as an individual pursuit by a person who exerts *power over* (Tong, 1989) the group. This consultative approach to leadership and collaboration was not highly valued until recently as it implied that these types of leaders were not able to make quick and decisive decisions.

Ethnicity, Age, and Physical and Mental Acumen

Most of the North American leadership research dealing with ethnicity has been focused on American Blacks (Bass, 1990) while other minorities, such as Asian and Hispanic populations, have not been studied to any great degree. In Canada, leadership studies are also lacking in relation to Aboriginal populations and other ethnic groups, but the studies that have been done prior to the 1980s are consistent in their findings that minorities have been thwarted in their ability to attain leadership positions especially in the corporate sector (Bass, 1990). Since that time, however, changes have been evident as minority groups grow, become better educated, and assume professional positions. For example, the Chinese, Indians, Jews, Italians, and several other European groups have been able to attain leadership positions most probably due to a consistent understanding of leadership in a western context as well as their ability to attain higher levels of education (Bass, 1990).

South American, African, middle-eastern, and other Asian populations do not fare as well, however, as their languages, cultures, and approaches to leadership appear incompatible with what is expected in Canada (Shah, 2005). Leadership, a highly context specific term, means different things to different groups of individuals and understanding what it means within Canadian government supported organizations is problematic for those individuals who were not born here (Shah, 2005).

Some groups who were originally from Canada, however, also face challenges in obtaining positions of influence. Canadian First Nations' populations continue to struggle with obtaining higher levels of education and situating themselves in leadership roles in academia as well as in other sectors. There are numerous theories as to why this situation remains. For example, there is diversity among First Nations' bands in Canada as each has created its own culture, language, values, spirituality, and rituals. This diversity also relates to approaches to leadership, so it has been difficult to identify a particular leadership style that is common among members of this group. In addition, since the enactment of the Indian Act of 1876, Aboriginal leadership has been transformed in an attempt to meet the needs of the Act as well as those of the Native Canadians (Ottman, 2005). It is generally accepted, however, that leadership across the various Aboriginal cultures is one based on a leader caring for one's family and community and in the development of creative ways to meet the needs specific to these two groups (Ottman, 2005).

Research on the physically and developmentally delayed populations continues to be scarce due in part to the low numbers of people in positions of leadership (Bass, 1990). In addition, research related to the impact of age and leadership is also lacking but a review of

the work undertaken so far indicates that younger leaders react differently than their older counterparts. For example, older leaders, managers, and others in areas of influence may take more time to make decisions and are less likely to embrace new ideas and technology. Conversely, younger adults are more autocratic, have less experience to draw upon, and tend to be more impulsive and less thoughtful in their responses (Bass, 1990), and they are not afraid of technology. It can be assumed that changes in human rights legislation related to physical ability and the abolishment of mandatory retirement in Ontario will have an impact on future studies in leadership but, currently, there is only scant research that has been undertaken with this focus on disability.

Management

Leadership and management are often used interchangeably as in Sapienza's (2004) book but, in most instances, the two are separated even though it is acknowledged that the two do overlap. Management is usually associated with the mechanics of running an organization. It involves creating and using structures that will provide the manager and subordinates with the tools needed to complete tasks. It is "getting things done through others" (Nelson & Economy, 2003, p. 9) or "making something planned happen within a specific area through the use of available resources" (p. 10). It is a balancing act where time, quality, and cost are in constant conflict and the importance of each is determined by a manager who assesses their relative importance within a particular context. This manager also uses "values, policies and procedures, schedules, milestones, incentives discipline, and other mechanisms to push employees to achieve goals of the organization" (p. 46).

Leadership, on the other hand, is the development of people and ideas by one or more individual(s) who employ a variety of tactics to motivate people, achieve goals,

maintain a focus on the overall purpose, and move a group or idea forward. "Leaders have vision. They look beyond the here and now to see the vast potential of their organizations" (Nelson & Economy, 2003, p. 46) and achieve "goals in way different from managers" (p. 46).

Leaders inspire, use a variety of methods to communicate regularly, develop opportunities for creativity, and actively engage group members in determining the vision by recognizing and utilizing their skills, needs, and wants and placing them in a leadership position when their abilities are needed.

Leadership Theories

In order to understand how leadership emerges within universities, it is important to review the various theoretical perspectives that can influence the type of research that has been undertaken. A summary of six predominate leadership theories is provided in Table 2 including those theories that have been mentioned in the preceding chapter such as the belief that a leader has specific traits, behaviours, powers, and influence. The strengths and weaknesses of each theory are outlined and changes over time in relation to acceptance of each theory are noted as well. Table 2 also includes cognitive, contingency, and cultural/symbolic approaches to leadership that have gained prevalence in the last half of the 20th century. The latter two have garnered increased attention as a result of changing demographics and the resulting influence of diverse values and viewpoints on leadership.

Contingency theory, for example, espouses that leadership is based on the assessment of a particular situation and resulting actions (Vroom/Yetton approach), the needs of the group (path/goal), and the tasks needed to assist group members with realizing their collective and individual goals (Foster, 1986). Leaders are focused on how to get followers

Table 2

Leadership Theories that have Emerged in the Last Century

Trait	***Behavioural***	***Power Influence***	***Contingency***	***Cognitive***	***Cultural/ Symbolic***
Leaders possess specific traits that separate them from the nonleaders. These traits may be in-bread.	The behaviour of leaders is studied. The belief is that these behaviours are specific and can be learned.	Leaders want to gain power and keep it. They want to influence the behavior of others, maintain a leader-follower model, and are focused on process.	The behavior of the leader is based on the context and the skill sets of the individual members. Leaders change their approaches based on the context and the identified needs.	Individual leaders' cognitive processes influence how they lead. Leaders and followers are examined in relation to each other and themselves.	A leader uses rituals, after assessing the cultural context to determine the best ritual or method to lead according to the cultural and linguistic mix of the group.
It is an alluring, concept, easy to study and was the focus of much research in the early 20th century.	This approach gained favour in the mid 20th century. These leaders balance the tasks that need to be completed with the skills of individuals with whom they interact.	This concept has been prevalent throughout the entire 20th century and into the 21st century. Leaders are co-ercive, reward, or transactionally focused, and are expert at holding onto power.	This approach has gained favour in the latter half of the 20th century and into the 21st century.	This view has gained popularity in the latter part of the 20th century and into the 21st century.	This approach has gained popularity in the latter part of the 20th century and into the 21st century due to the diversity now found in groups.
Criticisms:	**Criticisms:**	**Criticisms:**	**Criticisms:**	**Criticisms:**	**Criticisms:**
No lists of desirable traits have proven to be definitive. Traits can be difficult to measure e.g., the impact of one specific trait over others for example (Kezar et al., 2006).	A universally accepted style of leadership has not emerged. The context within which a leader functions is not the focus. A correlation between behaviours and results has not been established (Kezar et al., 2006).	Hierarchy, power, control, are the key elements of this viewpoint. Consideration for context, the skills and personalities of others is not the focus (Kezar et al., 2006).	Because there are multiple variables that need to be studied, it has been difficult to conduct research in this area and to empirically produce results (Kezar et al., 2006).	It is difficult to determine the cognitive function of leaders and followers. In addition this method of inquiry has produced few practical results (Kezar et al., 2006).	Context is not considered. Specific practices have not been empirically linked to specific results (Kezar et al., 2006).

to "subscribe to their viewpoints" (Foster, 1986, p. 176) by assessing the internal and external environments and making decisions that will raise the group to "a different and higher level" (p. 179).

Contingency theory also focuses on the behaviour of leaders and their ability to modify their leadership style to specific contexts. It espouses that the desire to find a universal best style of leadership is problematic and that the appropriate style is often contingent upon values and emotions. In the field of leadership, functionalist research has focused on revealing character traits of good leaders then interpreting this information in such a manner that it can be generalized across populations (Kezar et al., 2006). With its focus on psychology, it emphasizes power as a method of influence and attempts to predict individual behaviour then provide practical solutions to issues that have arisen.

Functionalist researchers tend to employ a quantitative approach to their data collection through the development and delivery of questionnaires, surveys, and other instruments that allow for the control of responses. They strive to develop methods of gathering data that will guard "against the impact of their beliefs and normative values on the conceptualization of leadership research" (Kezar et al., 2006, p. 18). They believe that "knowledge is grounded in facts that are conceptualized as objective statements of truth [and that] "the goal of research is to develop predictions about behaviour so that human situations can be controlled" (p. 18).

Social constructivism supposes that leadership emerges according to the context and culture within which it is being exercised and research is conducted as a result of a desire to understand different perspectives and to explore changes over time. Social interactions between individuals in "specific linguistic, social, and historical contexts" (Schwandt,

2001, p. 33) are examined in an attempt to understand processes, values, and beliefs as opposed to focusing on power and coercion, for example. Social interaction is important in regards to the actions that take place between leaders and followers in a specific context. Individual perspectives are examined in regards to four variables including "the leader, the led, the task and the context" (Rowley, 1997, p. 81).

This approach often relies on a *transformational* leadership style whereby leaders assess the goals and the needs of the followers and aligns them. These individuals also employ the use of symbols and language familiar to group members linking them as well to the cultural/symbolic theory that focuses on engaging individuals who might not have previously occupied leadership roles. These leaders engage diverse groups of individuals by understanding their backgrounds, values, and culture.

Theories related to power and influence have traditionally relied on leaders who are *transactional* as they exert their influence by instituting a variety of reward systems. They agree to provide followers with tangible or intangible items that they value in exchange for adherence to a particular plan of action that is prized by the leader, and, in many instances, the follower as well. The leader appeals to the "motives of the followers and attempts to satisfy them in some way" (Foster, 1986, p. 179).

Transactional and transformational leadership styles are embedded in the various theories summarized in Table 2. Current research tends to focus on context, adapting to change, and working in collaborative groups where leadership is shared based on the needs of the group and the changes found in the internal and external environments. The transformational leader is seen more positively as his or her role is to persuade the group members that the goal is more important than individual member's needs. The

transactional leader tends to be associated with theories related to power and control that have fallen out of favour in the last 25 years as leadership is now seen as a process of "transforming and empowering" (Foster, 1986, p. 188) rather than as coercive.

In these times of changing technology, demographics, ways of learning, and globalization, theoretical approaches to leadership have adapted as well.

Introduction to Collaboration

The importance of leadership in collaborative groups is well documented in the literature and it is a widely held belief that "people are more likely to perform better in well-functioning groups where they can get feedback and learn from each other" (Robbins & Langton, 2003, p. 155). These kinds of groups are found in all sectors as organizations have migrated from the traditional top-down approach to decision making into "arrangements that emphasize collaboration, shared vision, consensus, and mutual empowerment" (Beck & Murphy, 1994, p. 50). These changes have occurred as a result of the "advent of the information society of the 21st century" (Beck & Murphy, 1994, p. 49) and have led to new more heterarchical models where the leader is the individual who has the required skills or knowledge needed at the time.

Although there is consensus that collaborative groups are effective, there are differing views as to what model is best. Some are based on the "development of a middle ground between authoritarianism, the old paradigm of leadership, and collectivism or managing by committee" (Beck & Murphy, 1994, p. 145). Others are based on the assumption that if "leadership is shared then the group is collaborative [and] this is not always accurate" (p. 145).

Research on collaborative groups has also yielded some interesting findings in regards to the barriers that may be purposely, or inadvertently, put into place when setting up these groups. In order for a collaborative group to function, trust needs to be built over time and systems put into place whereby information is shared, expertise developed, and then responsibility for assuming various leadership roles is more easily assumed. Collaborative groups can only function when formal policies and procedures are in place to create a culture of trust, open communication, fair allocation of resources, and the freedom to share ideas on an ongoing basis. A conscious effort involving time and willing team members is needed to create opportunities that allow these groups to flourish and to reduce barriers. Successful collaborative groups set aside time to review the benefits and challenges associated with collaboration including clarifying individual needs and identifying barriers and solutions to their removal.

These barriers are found in many environments including academia. For example, they may be found in rules and regulations concerning promotion and tenure, or within departmental and faculty organizational structures. They may also be found in newly formed and established collaborative research groups or committees. Maxcy (1991) suggests that in order to reduce barriers and develop environments where true collaborations flourish, educational institutions might consider the development and ongoing support of interdisciplinary research centres, or a review of campus visions, values, and mission statements to ensure the environment allows for collaborative groups to emerge and develop.

Effective collaborative groups also need time to articulate what is important to them as they grow and evolve and university reward systems can contribute to, or detract from, a

researcher's ability to fully engage in effective collaborations. These groups have a functional purpose, (e.g., to complete tasks) but they also have a cognitive and emotional aspect to them as well, and attention, in relation to time and training on collaborative group development, is needed to ensure all aspects are given due consideration (Beck & Murphy, 1994).

This attention to emotions has slowly gained acceptance as an alternative to the "fact driven model of decision making" (Beck & Murphy, 1994, p. 28) that dominated the leadership literature prior to the 80s when scholars, such as Gilligan (1982), Noddings (1984), and Shakeshaft (1987), began to view leadership as collaborative, dialectic, and less focused on a behavioural science approach (Beck & Murphy, 1994).

Group Development

Table 3 outlines how collaborative groups start and develop over time, according to Bradford and Cohen (1998), who suggest that there are stages that groups work through in order to arrive at a situation whereby they are truly collaborative. The stages are sequential with each one adding a dimension that is integral to the effective functioning of the next one. Sometimes groups proceed along the various stages then retract, and move forward again. It is incumbent upon the group members and the leadership to ensure that movement through these stages is achieved within a reasonable time period (Bradford & Cohen, 1998).

The first stage in group development is *membership* or the time period when individuals are considering the merits of taking part in the group. They question their role and the roles of others, the purpose of the group, the emerging values relating to leadership, and their own skills and potential contribution. They consider their

Table 3

The Stages of Group Development

	Membership	***Sub-grouping***	***Conflict***	***Individual Differentiation***	***Collaboration***
Membership	Finding one's place.	Finding allies.	Fighting over direction.	Doing one's job.	Sharing responsibility for team success.
Atmosphere and relationships	Cautious, feelings suppressed, low conflict.	Apparent closeness within subgroups, cross group sniping.	Hostility across subgroups.	Supportive, demanding, open, direct, expressive, fights over issues.	Workmanlike, satisfied, mostly honest, honest differences.
Goal understanding and acceptance	Low, not clear to all.	Some misperceptions but increasing clarity.	In dispute.	Most agree.	Commitment to tangible vision.
Listening and information sharing	Intense but high distortion and low disclosure.	Similarities within subgroups less than perceived.	Poor.	Reasonably good.	Excellent, rapid, direct.
Reaction to leadership	Tested by members, tentative.	Resisted, often covertly.	Power struggles, jockeying for position.	General support, individual variations in influence.	Highly supportive but free to disagree vigorously.
Attention to group process and the way the group works	Ignored.	Noticed but discussed only in subgroups outside meetings.	Used as a weapon against opponents.	Sometimes displaces tasks, or is accepted uncritically.	Discussed as needed to aid work, anyone initiates.

Note: Power up: Transforming organizations through shared leadership by Bradford & Cohen, (1998).

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commitment to a shared leadership model and to the discussion of items that are safe and noncontroversial. Movement through this stage is usually relatively short.

The second stage, *subgrouping,* involves the scanning for potential allies. Individuals feel safer when they can relate to others who they feel will support and understand them. This alignment, based on the desire to feel part of a group quickly, can be a cause for tension at this point or later on in the process. Ensuring that all members feel valued and are integral to the development of the group is important at this time. Conflict can begin to surface at this stage.

Stage three may be marked by *conflict* as important issues surface, an organization takes shape, roles emerge, and differences are articulated. In order to navigate through this stage, a commitment and energy are needed to identify potential and actual sources of conflict and to develop creative solutions to mitigate the possibility that they will derail the group. "Their members learn how to deal with difference" (Bradford & Cohen, 1998, p. 150) in a constructive manner, or disband. If the group is successful in navigating through this stage, however, then the atmosphere changes as members realize they have something to contribute and they are valued.

They move to the *individual differentiation* stage that is characterized by the group's ability to deal with "interpersonal baggage accumulated in earlier periods" (Bradfield & Cohen, 1998, p. 150). Members feel comfortable that their needs will be met and that they are able to contribute in a meaningful way. They no longer feel a need to create subgroups and feel responsible to other members and the group as a whole.

At this point, as the group moves on to the final and fifth stage called *collaboration*, the group is now stronger than individual members as they appreciate the role they will

play, the niche they will occupy, and the skills they bring. They formulate a shared commitment to goals, values, norms, and a leadership model. They trust each other enough to address subjects that may have been previously out of bounds and tackle tough issues in a timely manner "contributing both their functional expertise and general problem making skills" (Bradfield & Cohen, 1998, p. 153).

Group Process

"All collaboration is built on a foundation of trust...[that] is a necessary precondition for an individual's participation in a collaborative venture" (Schneider & McDonald, 2007, p. 191). Groups function well when time is devoted to development of trust among individual members in conjunction with a consistent and ongoing review of group sanctioned social structures, policies and procedures, and technology. Members are more apt to work cohesively when they are assured that the collective capability of the group is sufficient enough to warrant the time it takes to nurture this collaborative enterprise.

Members should trust each other enough to feel comfortable articulating their needs, wants, and potential contributions. Successful collaborations rely on social structures, (new, established, or a combination of the two) and building social relationships. These relationships can change over time; therefore, an effective group responds by "evolving the composition, functions or roles of its participants" (Schneider & McDonald, 2007, p. 192).

Constant and consistent checking in with participants is important to ensure the current mix of members is meeting the needs of the group. As changes occur over time, some participants may not feel their skills are needed and may opt out, or the group may decide that additional skills or technology are required that were not deemed necessary

when it was originally formed. In this instance, they may seek out new "capabilities constructed from synergistic combinations of services and resources contributed by different participants" (Schneider & McDonald, 2007, p. 196).

This ongoing review and alteration of tasks and skill acquisition is predicated upon the trust that develops over time leading to the ongoing creation or alteration of existing or new tools, ideas, policies, procedures, and social structures. Group members communicate often via a variety of methods to ensure the group is efficient, to scan outside influences that might have an impact, and to determine if changes are needed.

The same kind of scanning process is necessary within collaborative groups as well, but with a goal to ensuring all members continue to be focused on shared aspirations. Clarification of roles, norms, skills, preferences, reward structures, and expectations, and the equitable allocation of resources are integral to ensuring that a group functions effectively (Robbins & Langton, 2003). These elucidations are achieved by ensuring discussions take place related to role identity, perception, expectation, and conflict.

Role identity is the expectation by one's self as to what behaviours are expected within the collaborative group under calm or stormy conditions. Role perception, or the behaviour that individuals engage in, is based on individuals' perception as to how they think they are supposed to act. Role expectation is how others think individual group members should behave, and finally, role conflict is the juggling of one role with another when the two may not be compatible (Robbins & Langton, 2003).

The clarification of group norms and values is also integral to the functioning of an efficient collaborative group. Norms are "accepted standards of behaviour that are shared by the group's members" (Robbins & Langton, 2003, p. 185). They are

established at the onset or can evolve as the group develops and are important to the survival of the group in order to predict group members' behaviours, to reduce embarrassment, and to encourage a dialogue around identity and values (Robbins & Langton, 2003).

Norms are aimed at developing a mutual understanding of what behaviour is acceptable. They can be formalized, as found in policy and procedure manuals, or informal where the group understands and accepts standards that are not written. For example, university faculty, staff, and students are increasingly aware of the physical environment, and although they are not required to recycle, it is understood that proper disposal of waste is an accepted norm that need not be included in a procedure manual.

Establishing shared values is also integral to ensuring a smooth functioning collaborative enterprise. Since they are so closely linked to ethical beliefs (Robbins & Langton, 2003), attitudes, culture, language, gender, and sexual orientation, they have a major impact on how the group will function. Canadian society is diverse, as are university campuses; so, it is important that group members articulate their "convictions about what is important, right, and good" (Robbins & Langton, 2003, p. 82). Once these values are declared, then a collective understanding of the group's values can be determined and members decide if they want to continue being members.

Compliance, Power, Influence, or Persuasion

Studies on collaborative organizations have dealt with issues related to power sharing within these groups. Specifically, they have focused on the ability of members to agree on how power will be distributed. Given the nature of collaborative groups, the one-person, consistent, heroic leader is not the norm, instead, leadership changes depending upon the

needs of the group. In this context, "an empowering discourse/practice" (Maxcy, 1991, p. 169) is developed in order to encourage a natural exchange of power between members based on the skills needed at the time.

These groups are comprised of "informed participants" (Maxcy, 1991, p. 169) who are engaged in a process of "empowering collegiality" (p. 157) in order to develop their skills, shared values, and an agreed upon definition of power in relation to their specific group. Members are also aware, however, that their values may not be compatible with those found in other organizations that have an influence on them.

Issues related to power are not easy to clarify and control, even within truly collaborative groups, as outside influences can have a dramatic impact. For example, members of collaborative groups found within academia may conduct their activities based on an understanding that their employer supports their collaborative, shared decision making approach to the conduct of research. The university's organizational structure, "entrenched organizational ideologies and social codes" (Maxcy, 1991, p. 159), positivist language, and discourse may suggest otherwise, however, thus the group may have difficulty functioning within a structure that espouses support, but does not deliver.

It is important that collaborative groups pay particular attention to how they will function within a larger context, such as a university, and their internal processes, policies, values, and norms should be reviewed regularly and assessed in terms of the goals of the group and how these goals fit with organizations that have a major influence on them. This review process should also involve a discussion related to power, leadership, and communication strategies, and the development of an organizational structure that will meet individual members' needs and the group itself.

In any collaborative enterprise there is a need to coordinate activities so individual members know what is expected of them in relation to time, scope, and quality, so power dynamics play a role even within the context of truly collaborative groups. The type and extent of power, however, is different than in traditional hierarchical organizations where there is an acknowledged leader who assumes the role throughout the entire project or activity.

According to Robbins and Langton (2003), "power refers to a capacity that A has to influence the behaviour of B, so that B acts in accordance with A's wishes" (p. 256). It implies a "dependency relationship" (p. 256) that may or may not be realized and can be *coercive, reward* based, *expert, legitimate,* or *referent.*

In collaborative groups, decision making and leadership fluctuate depending upon the context, task, and internal and external influences, but the group is empowered to make the decision as to who will assume this role of coordinator or leader. Therefore, power has a different connotation within these groups. For example, *coercive power,* with its basis in fear as a motivator, is not accepted in collaborative groups, whereas, *reward power,* can be integral to success as long as individual rewards are harmonized with those of other group members and fit the values and goals of the group itself.

Expert power is also accepted, to a certain degree, in collaborative settings as individuals with specific skills or knowledge assume leadership roles when the group determines these attributes are needed. It is assumed that every member has a skill that is important to the group and that each will eventually take on a leadership function at some time during the life of the project. *Legitimate power*, on the other hand, is not highly

valued in collaborative work settings as it suggests a person has power based on his or her position in a hierarchical structure.

Referent power assumes an uneasy role within a collaborative group. It is valued to the extent that power comes from admiration of specific members' skills, attributes, or connections, and this admiration leads to a change in behaviour or attitude (Robbins & Langton, 2003). It can also lead to the acquisition of power by these individuals if their admirers allow their admiration to stifle their ability to be fully empowered, functioning group members.

Collaborative groups are more concerned with *empowerment* than power. They value, above all, the high level of trust that has been built among members that allows them to feel confident in each other's skills and commitment to the mission and values of the group. In addition, this trust allows them to be comfortable with a shared decision-making model, their ability to self-manage, and their collective belief in the equal distribution of rewards, tasks, and accolades. Empowered individuals have a sense of self-determination and competence. They feel that their work is important to themselves and others and has an impact within and outside of their group (Robbins & Langton, 2003).

They are also concerned with *distributive justice*, or the ability to influence how rewards are distributed, and *procedural justice*, or the ability to fairly distribute these rewards (Robbins & Langton, 2003). They are process oriented and, due to the trust that is inherent in collaborative groups, they value the kind of feedback that comes from others in the group. They freely share skills, experience, and abilities for the betterment of the group knowing that, in turn, they too will benefit.

This kind of approach to individual empowerment is similar to what Bradford and Cohen (1998) refer to as *mutual influence.* They espouse that the leader as hero has long lost its lustre and, instead, organizations are moving to structures that are based on influence, or the "ability to get others, below, above and laterally, to respond in desired ways without coercion" (Bradford & Cohen, 1998, p. 184). Although they admit that "influence may be less glamorous than unadulterated control over others" (p. 184), it is a more effective method in the long run, to ensure individual skills are recognized and used for the betterment of the enterprise.

Mutual influence means that no matter what position group members inhabit, they are encouraged to question, provide suggestions for improvement, and feel empowered enough to shift from leader to subordinate and back again. It also allows for enhanced communication among members based on an assumption that in this technological age, no one person can control all of the information; therefore, no one person can possess power over others for any length of time. The idea that "knowledge is power" is an abstract notion in these postmodern times, as group members now have access to more knowledge, skills, and information than ever before.

Conflict Resolution

Collaborative groups solve problems "by clarifying differences rather than by accommodating differing points of view" (Robbins & Langton, 2003, p. 300) in order to create solutions that integrate individual needs with that of the entire enterprise. This approach is designed to ensure important decisions are focused on the overall need of the group, the ability to learn from the discussion, to gain commitment by members, and to

incorporate "concerns into consensus and to work through feelings that have interfered with a relationship" (p. 300).

In order to reduce the potential for conflict, well-functioning groups pay attention to some key elements. The first is related to the size, specialization, and composition of the group. Finding the optimal number that is needed for a particular project to be completed can be challenging, so attention must be paid to the resources available such as time, money, and skills, in relation to the specific tasks that need to be done. In addition, as the group evolves over time to address changes in the environment, role clarification must also evolve as well (Robbins & Langton, 2003) on an ongoing basis.

Excessive control by outside organizations needs to be considered as it can cause turmoil within the group as do tasks that involve disputes about what should be done and how they are completed. Of particular concern are personal conflicts related to attacks on an individual's character, ability to achieve tasks, or differing work styles (Bradford & Cohen, 1998).

The group must also pay attention to an overreliance on excessive participation that at times may place undue pressure on individual members or highlight too many differences between these individuals that could lead to friction. Reward systems should be put into place so that individual needs are met and members feel they are getting something out of the alliance (Robbins & Langton, 2003). Task delegation related to skill sets is also important as is a determination of what should be done collaboratively and what should be done individually. Decisions must be made regarding group activities that involve task completion but also social interaction for pleasure and celebration. Decisions regarding the optimum amount of time needed to conduct informative, useful, and focused

meetings are also necessary (Sawyer, 2007) in order to ensure the best use of valuable time.

Project Management

Collaboration, within a project management context, is concerned with the development of formal structures that create an environment within which a collaborative group can thrive. Examples of these kinds of collaborative groups within academia include committees and task forces whereby the group is expected to function in a collaborative manner while following procedures that have been developed or provided to the respective group (Sapienza, 2004).

Diversity

In today's society, it is difficult to form collaborative groups that are not diverse as a result of the changing demographics that have evolved over the last 25 years (Aguirre & Martinez, 2006). In addition, research has shown that "when solving complex, nonroutine problems, groups are more effective when they're composed of people who have a variety of skills, knowledge, and perspective" (Sawyer, 2007, p. 71). This nonhomogeneous approach to problem solving ensures that during times of rapid change and innovation, creative thinking is more likely to emerge from groups comprised of individuals who have differing perspectives (Sawyer, 2007).

Diversity is multifaceted and includes gender, race, age, religion, culture, social and economic class, education, and epistemology. Collaborative groups thrive on diversity while at the same time it is this miscellany that can lead to conflict. The challenge associated with creating a harmonious diverse collaborative group is mainly associated

with the time it takes initially to work through all the stages, as outlined by Bradford and Cohen (1998).

"Diversity in skills, abilities, values, and demographic backgrounds among members will prolong the formation process unless the fit between members, tools, and tasks has been carefully engineered in advance" (Arrow et al., 2000, p. 77). It takes a skilled and committed leader, or group of leaders, to develop a process that allows the group to navigate through the stages, understand individual attributes, aspirations, and dimensions of other members, and to develop a group identity.

This process involves creating a *culture of clarity* (Bushe, 2009) whereby individual members share assumptions that are derived from the development of the group over time and the high value that is placed on diversity and its important role in the functioning of the group. In this context, diversity is embraced but it is also expected that individuals have an "organizational learning conversation" (p. 268) whereby they can discuss feelings, anxieties, and philosophical differences that will inevitably surface in collaborative, diverse, groups.

Academia and the Community

In most universities today, there is an emphasis on diversity in regards to intra and interdisciplinary collaborations, but there is also an increasing need to develop groups comprised of academics and community or industrial partners as well. The rewards are similar to those previously outlined including access to differing viewpoints and skills but also alternative sources of funding and real life environments where the research can be tested or participants recruited.

The challenges associated with working in these kinds of collaborative endeavours are similar to those found by groups that have been formed within academia, but there are

also differences that newly formed university/community groups should consider. According to Cottrell and Parpart (2006), there are many issues to consider when bringing together members from community groups or businesses and aligning them with academics.

For example, it is important to engage both partners early on in the process to ensure all feel included, then identifying and clarifying roles, responsibilities, rewards, and potential costs (e.g., legal, financial, human resource, etc.). Transparency is also important at inception and during the project in regards to sharing control over, and access to, budgets, research protocols, methods of decision making, problem solving, power sharing, and communication.

Purposeful and regular meetings are important in order to ensure an ongoing reiteration of tasks, goals, and objectives but also as a means of reminding each other of the different reward systems, expectations, and cultures from within which they each function. A shared understanding of leadership, project management, and ownership of intellectual property and products is also an ongoing task that must be addressed as is a shared understanding of the relative significance of process and product.

In addition, reviewing regularly the differences between the members in regards to their wants and needs is essential as is the attribution of authorship to community partners as well as academics. Finally, developing dissemination strategies that address the unique needs of members in both applied and academic settings is important and these activities include academic conferences and publications as well as web site development, newsletters, and workshops.

Effective community/university collaborations can occur when equality among partners is established early on (Cottrell & Parpart, 2006) and when there is an understanding and respect of each other's viewpoints and expectations.

> Above all, both sides need to acknowledge the formidable challenges facing academic community collaboration. Successful collaborative, participatory project design and implementation takes time, patience, and willingness to admit mistakes. This acknowledgement, combined with a determination to overcome barriers and a willingness to question one's thoughts and behaviour, are the essential ingredients for creating academic-community partnerships that can foster social transformation. (Cottrell & Parpart, 2006, p. 25)

Technology and Knowledge Sharing

In today's technologically driven economies, collaborations within and outside of the university are often developed via some form of electronic collaborative technique. The web and other electronic means of communication and information dissemination are changing the way universities do business in regards to the creation and dissemination of research within the institution and in the local, regional, national, and international communities.

Since knowledge from university based research is viewed as being generated for the public good, increasing numbers of people have access to "scholarly publications, scientific works in progress, teleportation of experiments and worldwide collaborations" (Tapscott & Williams, 2010, p. 4) that can lead to increased "knowledge co-creation and collaborative learning connection" (p. 4).

The recipients of new knowledge, much of which is funded by taxpayers through universities, are increasingly questioning policies related to intellectual property (Tapscott & Williams, 2010) in regards to journals charging for articles, for example. As electronic journals proliferate expenses are reduced, more individuals have access to this information, and opportunities are created for individuals to collaborate, share ideas, results, and ongoing work.

> Today a journal should simply be an instance in time of research output developed collaboratively on the global network by appropriate researchers. In addition there should be no "journal", let alone one owned by a corporation, that expropriates the result of research for its own profit. Universities and academics need to embrace the Global Network for Higher Learning as the platform for collaboration in research creation, communication, and exploitation of new knowledge. (Tapscott & Williams, 2010, p. 6)

Technology is forcing academics to think about intellectual property, the traditional methods of disseminating and creating new knowledge, and the development of scholarly collaborations within their disciplines, institutions, and countries. It is forcing leaders within collaborative groups to look at relationship building, their commitment to sharing new knowledge, and their understanding of the dynamics of change (Fullan, 2002).

Conclusion

As is evident from the information included in the preceding chapter, there has been a great deal of interest in the topic of leadership and collaboration, especially over the last 25 years. Prior to that time, studies on the topic were predominately focused on the leader as omnipotent, heroic, and powerful. This approach fell out of favour, however, as the

global economy created a change in the way diverse societies viewed their interaction with others. As a result, the merging of new ideas, cultures, customs, values, language, and religions impacted on the development and design of research projects, businesses, education, health care, and social service systems.

During this same time period, the study of leadership and collaboration was also affected by technology and its impact on the development of collaborative research and the expectations regarding the speed with which new knowledge would be disseminated. Technology has forced academics to engage in discussions regarding intellectual property, the right for large numbers of people to access research results, and the methods they will use in regards to developing collaborative research teams.

CHAPTER THREE: THE RESEARCH METHOD

Just as there are theories related to leadership that have emerged over the years there are also theories related to methods of data collection and these too have emerged, been altered, debated, and tested in a variety of settings and during different time periods. For example, within the confines of qualitative research there are "grounded theory, ethnography, the phenomenological approach, life histories, and conversational analysis" (Strauss & Corbin, 1990, p. 2) and quantitative data collection methods vary as well. No matter what type of method or theory is utilized, however, there are always six main steps that a research process should follow. They include (a) identifying the topic; (b) reviewing the research; (c) selecting the participants; (d) collecting data; (e) analyzing, reporting, and evaluating the data; then (h) interpreting the data (Gay & Airasian, 2003).

How these steps are completed is dependent upon whether or not the data collection method is qualitative or quantitative. For example, in the topic identification stage, a researcher has to decide on whether a qualitative approach will be optimum and this decision is based on whether an exploration of the subject area is needed. If a hypothesis testing approach is seen as being optimal, then a quantitative approach may be more effective.

The second step involves the literature review and if a quantitative approach is utilized, then the literature review provides an integrated rationale for the study. If the study is qualitative, however, there is an enhanced emphasis on a result that is emergent and generative of new insights and understandings.

Participant selection and data collection is also impacted by the choice of research method. A qualitative researcher will look at a broader, smaller, and more general

participant pool, and the tools used to collect data are emergent. A quantitative researcher makes a determination regarding the recruitment of participants based on narrow and specific criteria and usually with larger numbers and particular tools in mind.

Investigation of the data is based on statistical analysis, for the quantitative researcher, and the reporting of the results is usually in a fixed and standard format that can often be generalized to larger populations. The qualitative researcher is more concerned about the deeper meaning of the text, finding themes, and creating results that organically emerge from the data.

As a result of Gay and Airasian's (2003) review of the research process, I have followed their steps and outlined them in the remaining sections of this dissertation. I document my thought processes and I discuss the types of questions I asked myself as I moved along the continuum from data entry, coding, and into the preliminary analysis.

In preparation for this chapter, I reviewed my journal notes and some of the thoughts I had written down during the time when I was collecting the data. I write about the rewards and challenges associated with the transcribing of the data, my fear of technology, and the steep learning curve associated with acquiring new qualitative software, and conducting appropriate and effective interviews.

Qualitative Data Collection

Based on Gay and Airasian's (2003) interpretation of the research process, I undertook a qualitative approach to my data collection. "Rooted in the disciplines of sociology, anthropology, psychology and history" qualitative studies rely "heavily on rich verbal, qualitative, interpretive descriptions" (p. 163) that provide context for the research. It is this richness that appealed to me given the information I was interested in collecting,

the university environment within which I conducted my study, and my specific research question. This qualitative approach allowed me to ask questions related to *what* the current state is in relation to leadership and collaboration in academic research groups and provided me with a forum to uncover feelings, attitudes, values, and emotions that are so integral to a social constructivist paradigm within which I am mostly closely aligned.

As is noted in Gay and Airaison (2003), qualitative research is designed to obtain a deeper understanding of the subject area so the use of quantitative methodologies with their reliance on statistical measurements including reliability, validity, and generalizability are not integral to this study. The difficulties inherent in a qualitative approach, however, are related to the open-ended nature of the data collection. Respondents' answers are not predetermined, as they would be when using a questionnaire or survey, and the analysis is dependent upon the interpretation of the person who conducts the interview, transcribes it, and tabulates the results.

It is a method, however, that allows researchers to become more immersed in the participants' feelings, ideas, body language, and passion while at the same time putting them in an "awful, painful position of realizing that, to understand something is to hold it open and susceptible to the future that has not yet arrived and that, despite all our best efforts, our knowing and planning cannot outrun" (Clifford, Friesen, & Jardin, 2001, p. 1).

Qualitative research is also a method of collecting information that can be used in conjunction with other methods, or as a stand-alone strategy that is used to delve deeply into a topic area. It is well suited to a social constructivist paradigm with its focus on developing themes and collecting data that are emergent and specific to a particular environment. Qualitative inquiry can lay the foundation for further study. Themes that

emerge might be further explored using a quantitative study method such as a questionnaire that might be applied to a larger sample to determine generalizability, for example.

The qualitative data collection method that I chose was more suited to the purposes of my research question as I was interested in engaging participants in a dialogue and exploring answers to questions in depth. By employing this technique, I was not bound to a "psychometric paradigm" (Janesick, 2000, p. 393) but rather I was able to "get on with the discussion of powerful statements ....that uncover the meanings of events in individuals' lives" (p. 394). Qualitative research allowed me to insert a level of passion into my research while ensuring that the participant was "not only inserted into the study...[but] is the backbone of the study" (p. 394).

Data Collection Method

In order to ensure that the participants were an integral part of my study, I conducted interviews designed to elicit information from 12 respondents who were involved in SSHRC funded collaborative research projects and who had first-hand knowledge of the challenges and rewards associated with working within a group. I wanted to meet with the participants individually in order to observe, listen, and take notes in regards to their response, then to become immersed in the results. By interviewing, listening to the transcripts, and, finally, transcribing the interviews, I was provided with the opportunity to formulate ideas based on respondents' emotions as well as their reports.

I employed a purposeful, convenience sampling approach in order to engage participants who were already involved in the activity I was interested in and who was within a geographical area that was conductive to my ability to contact and interview them.

I wanted to collect data that were developing, responsive, and focused on the respondent and that allowed new theories and ideas to emerge during the analysis phase. I wanted my interviews to yield data that might support existing theories as well thus, I settled on the focused interview method for collection of my data.

The Interview Process

In their book, *Handbook of Qualitative Research* (1994), Denzin and Lincoln write about the process of "warming up" (p. 211) in preparation for deciding on a data collection design. This warming up period is characterized by refining the research question, writing the proposal, and then moving into the phase called the "stage of entry" (p. 228). Having undertaken the warming up part of this process earlier on in the development of my data gathering method, I moved to this "productive data collection" (p. 229) stage; one that is the "most exciting phase of qualitative inquiry; during this phase, out of confusion, order and understanding emerge" (p. 229).

To facilitate bringing order to confusion, I decided to employ a focused interview method of data collection; one that placed me in a situation whereby I was the survey instrument. As a result, it was incumbent upon me to understand how to develop the questions and then conduct the interview in order to optimize time expended by myself and those individuals who agreed to participate.

In order to understand how to ensure that the benefits associated with undertaking a focused semistructured interview were realized, I followed the suggestions of Merton, Fiske, and Kendall (1990) in their book *The Focused Interview: A Manual of Problems of Problems and Procedures,* and Merton and Kendall's (1946) *The focused interview: A report of the Bureau of Applied Social Research, Columbia University.* While development

of the focused interview was derived from work conducted during the Second World War, I chose their technique as it has been cited as the foundational work on this interview method.

Merton and Kendall's (1946) ideas have been cited in books and articles that I reviewed and, thus, appeared to be a primary source, or foundation upon which much of our current interviewing techniques are based. For example, in Chapter 13 of Uwe Flick's (2006) *Introduction to Qualitative Research*, he discusses different types of interviews and refers to Merton as being an authority on the focused interview. In addition, Iorio (2004), Mischler (1992), Rubin and Rubin (2005) and Schensul, LeCompte, Nastasi, and Borgatti (1999) also cite Merton in their discussions in relation to conducting interviews in a focused manner.

The Focused Interview

By its design, the focused interview is distinguished by four key elements (Flick, 2006). The first is based on the interviewees being engaged in a particular situation that is important to them; and, in my case, it involved faculty members who had taken part in collaborative research. The second characterization involves the investigator's review of the situation and the ability to formulate ideas as to possible responses. The third key component of a focused interview is a situational analysis that yields areas of inquiry that merit further study; and, finally, the focused interview illuminates experiences talked about by the respondents and their interpretation of these experiences.

This approach has its challenges as it is difficult to predict what issues will surface in response to specific questions and the direction the discussion will follow. In addition, due to its exploratory nature, it is difficult to predict how much time will be needed for each

interview or what the results might be. Since the participants, rather than the interviewer, are the individuals who decide what is important to them, it was imperative that the questions are designed in such a manner as to extract the kind of information that the interviewer is seeking.

Kahn and Cannell (1963) suggest that the interviewer should have clear objectives so that the information obtained is useful, time is not wasted, and extraneous data are eliminated. It is incumbent upon the interviewer to create clear objectives in order to "meet the purpose for which the interview is to be held" (p. 98) and to "look both ways – back toward the problem to be solved and forward to the specific interview questions yet to be formulated" (p. 98).

I endeavoured to create these kinds of clear objectives prior to creating the questions, as suggested by Kahn and Cannell (1963). I soon discovered, however, that designing questions to address objectives that elicited the kind of information I wanted in order to answer my overarching research question, was exceedingly difficult.

Once I had settled on the questions, however, other challenges emerged such as maintaining control of the interview process once the questions were posed, being vigilant about keeping the respondents on track, and keeping my own biases in check. I also found that I became over-involved at times as the respondents provided me with information about their fascinating research projects and I had to refrain from engaging in a dialogue that elicited information about their research, and not mine.

In three instances I turned the tape recorder off part way through the interview and chatted with the individuals about their research in more detail, then continued with the

work at hand. In several cases, after the interview was over, I asked them to tell me more about their work.

As an interviewer I needed to be aware of how I interpreted the content of the interview and the background and behaviour of the person who was being interviewed (Kahn & Cannell, 1963). My interpretations were based on the information gleaned in the context of my beliefs, values, and experiences. My probes, rewording of questions for clarification, and eventually my analysis of the data, may have coloured some of the answers but I endeavoured to be vigilant about recognizing my biases and keeping them in check.

For example, due to my upbringing, education, values, and work experience, my interest in leadership has evolved over many years. Most recently it has focused on leadership in higher education as a result of my work experience in a research office where I would hear stories related to collaborative research groups that were not functioning efficiently. This knowledge resulted in my desire to undertake this study but also provided me with some ideas as to the kinds of responses I might expect from the respondents in this study. Therefore it was important that I was attentive to obtaining relevant data while at the same time avoiding making comments that might have engaged the respondent in a discussion that was defensive or of little value in regards to addressing the research question. I believe that in most instances I was successful, but in at least one case was less so.

It was also incumbent upon me as the interviewer to "develop a capacity for continuously evaluating the interview as it [was] in process" (Merton & Kendall, 1946, p. 545) in order to mitigate the gathering of extraneous information. Merton and Kendall

created four criteria that I followed including: *nondirection, range, specificity,* and *depth* and *personal context.* These criteria are explained in detail in the next section.

Nondirection

Merton and Kendall (1946) and Merton et al. (1990) suggest that the interviewer provides as little guidance as possible during the interview process while at the same time balancing this nondirective approach with the need to ensure that gleaned information is useful. In order to achieve this balance, questions must be well designed in such a manner that the interviewer obtains responses that are focused, relevant and useful. Good questions also assist the respondents by allowing them to express sentiments that are significant to them "rather than those presumed to be important to the interviewer" (Merton & Kendall, 1946, p. 545).

Poorly developed questions can be "ineffective in halting irrelevant and unproductive digressions" (Merton & Kendall, 1946, p. 546) so it is important that the interviewer knows how to guide the interview but not interfere. By starting with questions that are broad and open-ended, the interviewer can evaluate the responses in relation to yielding information that is useful, then if necessary follow-up questions can be more narrowly focused.

The goal of this nondirective approach to questioning is to:

> Uncover what is in the subject's mind rather than what is on the interviewer's mind. Furthermore, it permits subject's responses to be placed in their proper context rather than forced into a framework which the interviewer considers to be appropriate (Merton & Kendall, 1946, p. 545).

It also assumes that the person being interviewed is more articulate than the interviewer.

This type of questioning is not entirely free of influence by the interviewer, but this input is provided via the design of the questions. The interviewer asks a question that is focused on specific items but is designed to obtain his or her opinion or thoughts, on that item, not those of the interviewer. For example, consider the following questions that are both nonstructured in their design yet yield different results. The first is more general and the second is more specific.

Q1 *Did you enjoy the sandwiches at the picnic today?*

Q2 *What was it that you enjoyed most about the sandwiches at the picnic today?*

By being clear on the objective the interviewer wishes to achieve, a well crafted non directive question can mitigate the possibility of assuming the "role of educator or propagandist rather than that of sympathetic listener" (Merton & Kendall, 1946, p. 545) and obtaining an answer that yields relevant information.

Range

The second criterion relates to the interviewer's ability to "maximize the reported range of evocative elements and patterns in the stimulus situation as well as the range of responses" (Merton & Kendall, 1946, p. 12). This criterion is met when:

> the interview yields data which (a) Confirm or refute the occurrence of responses anticipated from the content analysis; (b)Indicate that ample opportunities have been provided for the report of unanticipated reactions; and (c) Suggest interpretations of

findings derived from experiments or mass statistics. (Merton & Kendall, 1946, p. 552)

When considering the range of responses, the interviewer needs to be cognizant of the data obtained already, "the extent to which subjects continue to comment spontaneously, and on the amount of time available. The interviewer must therefore be vigilant in detecting transitions from one stage of the interview to another if he is to decide upon procedures appropriate for widening range at one point rather than another" (Merton & Kendall, 1946, p. 552). The skills of the interviewer come into play when considering the range in responses that is optimal given the time available and objective that is to be met.

Specificity

A well-designed interview will yield *reports* of specific situations rather than *perceptions;* so, the interviewer should design questions that solicit responses that are both retrospective and introspective by phrasing questions such as the one noted below:

Think back to the time when you were at the picnic table in the afternoon and describe your reaction to the way that the food was displayed on the table.

The question asks the respondent to think back (retrospective) and to describe the reaction to a particular stimulus or situation (introspective) with a goal to obtaining a report. If the question was worded differently, such as below, the response might yield a different outcome:

Think back to the time when you were at the picnic table in the afternoon and what you felt about the way the food was displayed on the table.

One of the questions is asking for a description of an event and the second is asking for a feeling related to an event, and the choice of question to be asked will depend upon the objective specified by the researcher. No matter what the objective, however, the question must be explicit enough to guide the respondent in a certain direction, yet general enough so as not to be viewed as overstructured.

Depth and Personal Context

The final criterion for a well-constructed interview involves the ability of the interviewer to assist respondents to be "self revelatory" (Merton & Kendall, 1946, p. 554). Their responses should elaborate on their experiences and go beyond on word answers, such as yes or no, in order to illuminate their attitudes, values, social status and roles.

The depth of the response may vary as if placed on a continuum. "At the lower end of the scale are mere descriptive accounts of reactions…at the upper end are those reports which set forth varied psychological dimensions of the experience" (Merton & Kendall, 1946, p. 555). For example, expressions of sympathy, fear, or anxiety might be articulated as a result of the way the question was designed such as the example used in the previous section in regards to how the individual *felt* about the food display.

In order to ensure these questions yield responses that meet the objective the interviewer has established, he or she should ensure the context is clear by engaging occasionally in restating of the response and suggesting comparisons that are understood by the respondent. These comparisons should be central to the subject and appropriate given the flow of the interview.

This process of developing and implementing interviews that are based on understanding then choosing the appropriate approach from the myriad of accepted

traditional and emergent techniques is challenging (e.g., Denzin & Lincoln, 1994; Gay & Araision, 2003). So is setting up an interview that is focused on trust and respect for the participants' time and expertise, while at the same time aimed at obtaining desired results, while keeping biases in check. Such is the work of the neophyte interviewer!

The Interview Questions

Based on the previous section that describes the development of appropriate questions and clear objectives, I developed interview questions that I believed related to the research question in regards to shedding light on the role that leadership plays within a SSHRC funded collaborative group and situated in a university. The interview questions were designed in such a manner as to elicit responses that did not focus on the principal investigator as the only source of leadership on SSHRC funded projects as a review of one person was not the intent of the research.

It was not my intention to focus on one particular position or individual; so, I was careful during the interviews not to allude to the PI as being the leader. In preparation for my interviews I created questions that used SSHRC language including *principal investigators, coinvestigators or applicants, and collaborators* in order to collect information related to specific roles that researchers assumed while engaged on SSHRC funded projects. I also placed what I perceived to be the most important questions early on in the interview and asked broad questions then narrowed the focus in subsequent queries. I focused on eliciting information that addressed my research question and recruited individuals who had been involved, or are currently involved, in, these projects and who have an understanding of how these projects work.

The questions I asked are included below.

You are a member of a SSHRC funded collaborative research group based on the following definition: A collaborative group is one whereby mutual learning between two or more people is encouraged. It involves the recognition of each member's skills and the "interdependence in one another's success" (Kouzes & Posner, 2003, p. 68).

1. As you think back on your experience in this collaborative group you are currently engaged in, what comes to mind immediately about leadership in this group?
2. From your perspective as a PI, coinvestigator, or collaborator, what do you see as the major challenges associated with the form of leadership that is/was practiced on your project? What are/were the major advantages?
3. If you could develop a perfect leadership model for this collaborative project what would that look like?
4. Describe a time when changes in the group occurred due to: (a) the leadership; (b) the natural process a group goes through as it changes to address internal and external influences; and (c) Both the leadership and other influences impacting together?
5. Describe a time when the type of leadership practiced within your group contributes or contributed to its success or lack of success?
6. What do you think constitutes a successful SSHRC project?
7. Thinking back over the life of the project and your involvement in it, can you describe a time when you assumed an effective leadership role?
8. If you did assume a leadership role, why did you and how did you know you were effective?
9. Can you describe an example that highlights when the leadership might not have been effective?

10. From your perspective as a principal investigator, coinvestigator, or collaborator, on this project, can you describe how the leadership of this collaborative group impacts/impacted on the careers of the following members: principal investigator, coinvestigator, or collaborator.

11. From your perspective as a principal investigator, coinvestigator, or collaborator, can you describe how the leadership of this collaborative group impacts/impacted on the following:

Your reputation within the university and outside the university;

The reputation of the university;

The quality and timeliness of the research results; and

The quality and timeliness of dissemination of results made available to the larger community (, those groups or individuals outside of the researcher's university).

The names of the participants who I invited to the interviews were obtained through my own knowledge of individuals who were engaged in collaborative research at Southern Ontario University or SOU[1]. Most of these people, who have received SSHRC funding, are listed on the SSHRC web site so their names are also in the public realm. I contacted them by email and invited them to take part.

Prior to starting the interviews I collected basic demographic information including; (a) interviewees' age range; (b) year of graduation from their highest degree; (c) their gender; (d) rank; (e) position as stipulated on the grant application; (f) the length of time they had been engaged in their collaborative groups; (g) their first language; (h) nationality; (i) and the specific SSHRC grants they are or were working on. I recruited

[1] *Southern Ontario University is the name I am giving the institution within which I conducted by study. It is not the real name.

individuals from a variety of backgrounds, career stages, interests, disciplines and from both genders.

Once a mutually convenient meeting time was set, I reviewed the ethics protocol with the participants and asked them to provide me with a signed consent form. I explained the process and conducted the audiotaped interviews while at the same time taking some hand written notes in the event there were problems with the audio recorder machine. I assured all interviewees that I would be removing identifying information about them and if I used a quote from their transcript, I would not attribute it to them.

I used an audiotape machine and transcribed the interviews myself using my own conventions. For example, I did not include the pauses in language such as um…aw…etc., and I deleted names of individuals that may have been mentioned in the interviews and inserted X or Y, etc., in their place. I also endeavoured to delete identifiers in the text that might make it possible to identify the respondent or others that may have been mentioned by the respondent and any dialogue that I may have had with the respondents that did not impact on the results was not transcribed.

These transcripts were typed in their entirety then placed into tables with one table for each question. The information was ultimately transferred to NVivo to facilitate my analysis. This portion of the research project took approximately 4 months to complete.

Description of the Interviewees

Table 4 outlines the demographic characteristics of the individuals who took part in the interviews. Respondents were recruited from all 5 faculties at Southern Ontario University (SOU) and I also included two community people. I added these individuals because of the push by SSHRC and SOU to include nonacademics in the research. I was

Table 4

Demographic Characteristics of the Respondents

#	**Age Range in Years**	**Career Stage,** (Early, Mid, Late) **Tenured, Rank** (Associate or Assistant Prof)	**Gender, First Language, Nationality**	**Discipline**	**Length of time on project**	**1st time on a collaborative project?**	**Role as per SSHRC Definitions**
12	30-39 = 2 40-49 = 7 50-59 = 2 60-70 = 1	Early/Tenured/ Associate = 2 Early/Not Tenured/ Assistant = 1 Mid/Tenured/ Associate = 2 Mid/Tenured/ Associate = 1 Mid/Tenured/ Associate = 1 Mid/Tenured/ Associate = 2 Late/Tenured/ Associate = 1 Community Member = 2	Female = 7 Male = 5 **1st Language** English: 10 Other: 2 **Nationality** Canadian: 10 Other: 2	Applied Health = 3 Humanities = 2 Social Sciences = 2 Math & Science = 1 Education = 1 Business = 1 Community Member = 2	1 yr = 3 3 yrs = 5 4 yrs = 3 5 yrs = 1	Yes = 6 No = 6	Principal Investigator = 5 Co-Investigator = 5 Collaborator = 2

Notes: Early = Early in the career (1-6 years into an academic career)
Mid = Mid career (approximately 6-20 years into an academic career or under 55 years of age)
Late = Late career (approximately 20+ years into an academic career or 55+ years old)

not sure what additional information their input would provide but felt it was necessary as several of the projects that faculty members were involved in also included a community perspective.

The individuals I interviewed ranged in age from early 30s to early 60s. One was not yet tenured; 8 had received tenure in the last 3 years, with 1 prior to that time. The 2 community members both had graduate degrees and were active in the social service/health sectors. Seven participants were female and 5 were male, all but 2 spoke English as their first language, and 2 held citizenships from another country besides Canada. The length of time that each had spent on the project depended upon several factors including the type of SSHRC project that was awarded and the time it took to prepare the project proposal and complete the work.

At least 4 individuals indicated that they had been working on their projects prior to SSHRC funding being awarded; so, their collaborative involvement preceded the actual receipt of the money. Eight respondents had been on a SSHRC project for less than 4 years, which fits with the length of time that a Standard Research Grant (SRG) runs. These grants can extend into a fourth year, and in some cases, longer if the PI indicates there was some legitimate reason (e.g., illness, maternity leave) why the project could not be completed within the suggested 3-year time period.

There was an even split between individuals who had worked on a collaborative SSHRC project in the past and those who had not. The respondents' roles, as defined by the SSHRC criteria, included 5 principal investigators, 5 coinvestigators, and 2 collaborators. One of the 12 interviews was completed over the phone as the individual was on sabbatical and 11 were completed at various locations across the SOU campus.

The shortest interview was 35 minutes and the longest was 70, with the others lasting between 47 and 63 minutes in length. I transcribed the interviews within 2 days of conducting each one and used a program that I downloaded from the web that allowed me to transfer the audio onto my computer so that I could transcribe it into text. The first transcription took me 7 hours for a 70-minute interview but as I became more familiar with the technology and the content, I reduced the transcription time down to approximately 4 to 5 hours for each hour of audio tape.

As part of the transcription exercise, I gave respondents a number to protect their identities. As part of this description of the interviewees, I am using their numbers and not revealing their gender or discipline.

R#1 was a tenured professor who had been at SOU for the last 8 years. This individual had been involved on a previous SSHRC grant that (s)he had obtained as a sole researcher, prior to becoming a collaborator on a second SSHRC grant. R#1 was trained in the management sciences at another Southern Ontario university and in his/her younger years had been an excellent athlete and scholar, and her/his children were involved in athletics as well, which was obviously pleasing to this person.

This individual was very helpful during the interview as (s)he provided me with suggestions as to how I could make sure the data were collected efficiently. For example, we had two recording devices going at once in the event one did not function, and recorded the date, time and place where the interview took place on both instruments. This particular faculty member was experienced in qualitative data collection techniques so was a source of support to me with my foray into this exercise.

R#1, like the others whom I interviewed, was very interested in my topic as (s)he had been involved in more than one SSHRC grant and had seen how one experience can be rewarding while another can be a disappointment. This comparison of experiences provided this individual with an interesting viewpoint and the information, its delivery, and thoughtfulness with which it was imparted was much appreciated by me.

R#2 was an individual whose first language was not English. (S)he had attended university in another province and moved here for his/her first academic position, although (s)he had already been engaged in the teaching field prior to entering academia. R#2 recently received tenure and was taking a sabbatical at the time of the interview, which was completed over the phone. Like R#1, (s)he also made comparisons between two collaborative groups (s)he was currently involved in which added an interesting dimension to the dialogue, especially since one group was within SOU, and the other was a collaborative venture with individuals located in distant locales.

Prior to engaging in the actual interview, this person noted that a new baby was about to become a member of his/her family so that was an exciting event. (S)he felt pressured with this new addition to get as much work completed as possible on the grant prior to the birth, knowing that time and energy would be at a premium. (S)he felt fortunate to be off at this time to assist in the work that would be forthcoming with the birth of this child, and was preparing for the sabbatical as well as the new addition.

R#3 was a tenured professor who was late on in his/her career and was thinking about retirement. The experience that R#3 relayed was interesting in regards to the unusual viewpoint (s)he had and unique role assumed in the group; one I had not seen on other projects, most probably due to the fact that this academic position was not a life-long one,

and had been assumed only in the past 10 years and somewhat later in life. R#3 had done other creative work, travelled a considerable amount prior to accepting this post, and was looking forward to travelling once (s)he decided on a retirement date.

This individual, like the others, was forthcoming with personal and reflective comments that at times humbled me. The trust and respect shown to me by him/her during and after the interview provided me with an overwhelming sense of needing to produce a paper that was worthy of her/his input.

R#4 was an individual who had previous experience as a student research assistant on his/her supervisor's SSHRC, as a coinvestigator, and as a principal investigator. (S)he was a midcareer scholar, who had been involved in academia for most of his/her life with some breaks in between to support his/her studies. (S)he had taken longer to complete her PhD than was normal, from another university in Ontario, due to a personal issue that had derailed his/her finances and ability to finish the degree quickly. The current position (s)he was occupying at SOU was at the assistant professor level, and (s)he had received tenure a couple of years ago.

This individual was very much focused on management, efficiency, and achieving well articulated goals, unlike the previous participant who had focused on process not product. These two interviews, conducted one after another, highlighted the differences in approaches and, thus, the challenges associated with people who choose to work together in a collaborative venture with such divergent views.

R#5 had recently received tenure and had been at SOU for about 8 years. He/she had a young daughter, a role greatly cherished as noted in our conversation prior to the interview. This discussion may have partially accounted for the kind of reflective,

philosophical, and thoughtful responses (s)he gave. This person quoted well known philosophers in some answers and intertwined his/her academic training in the reflections given. (S)he relished the role of parent, spouse, teacher, and writer.

This individual was also quite different from the others in his/her background and interests. R#5 could couch his/her answers in terms of what different theorists might say, and she/he used this knowledge to support his/her viewpoint during the interview.

R#6 was a community member who was a well-educated, hard working individual working on a second graduate degree and passionate about research and the impact it could have on society. (S)he had an interesting insight as a community member but also a lecturer at SOU, and knew something about how universities functioned, in contrast to the other community member who was interviewed for this research.

This individual was driven, focused, insightful, and also somewhat impatient. (S)he expressed some difficulty in understanding individuals who did not share his/her work ethic, love of learning, and desire to give back to the community.

R#7 was a young but respected and firmly established academic who had extensive experience on collaborative research projects at another university as well as SOU. This individual had moved to Southern Ontario approximately 3 years earlier from another province and was bilingual, with English as her/his first language. He/she had two young children and in discussions prior to the interview noted how difficult it was to juggle all the activities children are involved in with a busy work life including running various grants, teaching, and mentoring students.

R#8 was newly tenured and had been working as an administrator prior to finishing his/her PhD and entering academia. This individual was previously employed in an

organization that espoused strong religious values; thus, her/his answers reflected a strong sense of community, respect for diversity, and inclusiveness. (S)he used words like "blessed", "honour", and "leading by example", in the responses to my questions. (S)he was soft spoken, articulate, but at times guarded in her/his answers in order to make sure that what was relayed to me was fair and balanced; in keeping with his/her character.

R# 9 was a midcareer scholar, (in terms of age) but with a track record that would put him/her into the more established category. This individual had been employed at a university outside of Canada prior to being recruited by SOU. He/she had been on several large scale projects prior to being engaged on a SSHRC collaborative endeavour; therefore had considerable experience and expertise in management and leadership.

This individual was forthright, self-assured, and convinced of her/his leadership and management methods, even though he/she outlined several flaws in one of his/her prior projects that (s)he felt had resulted in a substantial waste of time and money, and ultimately had useless results.

R#10 was a scholar who had been recruited from overseas and whose first language was not English. This person had a young family who came with her/him to Canada and already had an excellent publication record, grant writing experience, and success getting SSHRC grants as a result of this skill.

This faculty member had recently been very successful in securing funding for her/his research and was becoming a mentor for others in his/her faculty in regards to writing successful grants. He/she was articulate, but provided answers that were to the point, short, and concise.

R#11 had just finished preparing his/her dossier for submission to the Promotion and Tenure committee at SOU and was in the final year of the SSHRC collaborative grant that had allowed her/him to conduct research and publish. (S)he had previously been employed at another university, was not a Canadian citizen, and was in a long term relationship with another faculty member at the university. This individual was enthusiastic about his/her work, collaborator, spouse, students, and research, and this enthusiasm showed in the responses given.

R#11 was a pleasure to interview with his/her positive outlook, obvious pleasure at being able to fund research that (s)he was very passionate about, and being involved in a positive collaborative experience.

Finally, R#12 was a community member who had not been involved with a university based collaborative project before. This individual was a middle-aged, midrange administrator who was working on a graduate degree and overseeing a small staff in a nonprofit organization. (S)he had knowledge of some of the research being done in the community and of some of the professors, but research was not a mandate of the organization (s)he was working for. It was a viewpoint that was quite different from the others who were interviewed. (S)he was pragmatic and obviously not entirely comfortable in the academic milieu.

Reflections on the Data Collection Process

During the entire 4-month data collection phase, I kept a journal where I wrote down my thoughts after each interview so that I could plot any changes in my thinking or methodological approach. Prior to undertaking an analysis of the data, I reviewed these notes as a method of preparing me for my foray into the data analysis and organization

phase of my research. This review provided me with a record of my feelings and thoughts and served as a starting point for me in this next phase of the research program.

Based on these entries, I noted that the first two interviews were the most challenging in regards to my own confidence level and my trust (or lack thereof) in the technology I was using. I was cognizant of the time that people were giving me in their busy lives and I did not want the audio recorder's batteries to die, for example, or for me to erase or record over the interviews I had collected. In order to minimize this possibility, I brought two recorders with me to each interview and carried extra batteries. I also took some notes as a reminder of the conversation in the event both failed.

The first interviewee was very helpful. This individual reminded me to audio record the date and time of the interview before I started and to include this information in my notes as well. We worked on placing the recorder in the optimal position so as to be able to record my questions and the responses in a format that would be audible to me as I completed the transcription. Both of these suggestions were incorporated into subsequent interviews. Also, this individual assisted me with feedback related to how these questions might be improved. I was concerned about the applicability and relevance of the questions I was asking and this first respondent was very helpful so that this person's suggestions were incorporated into the reformulation of some of the questions for the subsequent interviews.

Prior to my first interview, I noted in my journal that I was aware that these busy people were being generous with their time and I did not want to waste it. I did not want to waste my own time either, so in order to respect the integrity of the interviews and the ethics concerning our time, I wanted to make sure the questions were meaningful and

helpful in answering my research question and stated objectives. I noted in my journal that this creation of objectives was not as easy as I had thought it might be and creating optimal questions, even after considerable preparation, was more complicated than I had anticipated.

After the first interview, and subsequent changes to the questions, I referred back to the responses that the first person had provided in order to determine if I should re-interview this individual or if the answers could be incorporated in some way into the new ones. I determined that the first person had actually answered the revised questions in the responses given so did not conduct a follow-up interview.

In my journal my notes I wrote about how I was struck by the candor, trust in me as a researcher, and the love the participants had for their work. These initial thoughts permeated throughout the remainder of the interviews. I was humbled by their intellect, commitment, and support of me and my work. At times I put myself in their places and wondered if I would be as trusting or as forthright as they were.

During this time, I was also pleased that I was no longer in my past position working in a university research office as I felt that I could be more objective in my current role as a student. I felt liberated as I did not feel I had to defend offices of research administration and could engage in what I felt was more meaningful and active listening. Their viewpoint was one that I was aware of in my past work, but I did not fully understand as I had a different environment then from the one within which I was now situated.

My journal also listed some questions that I asked myself during the data collection phase such as: Did I talk too much in this interview? Did I lead the interviewee in a direction that suited my own purposes, or did I take appropriate action in order to make

sure this person did not get off track? Was I overly excited during the interviews or should I have appeared more objective or detached? Did I let the person get too far off track? Did I make the respondents comfortable and in so doing did I reveal too much of my biases that, in turn, might impact on their answers? Did I declare my biases to the respondents or did I have to? Was I respectful, attentive, and/or professional? Did I use their time in a meaningful way?

Initially, I questioned whether or not my research topic would be of interest to anyone, but as time progressed the respondents provided me with confidence that indeed this topic was relevant and useful. Based on their feedback, I was determined to make sure that my results would be disseminated back to them in a timely manner; therefore, more pressure was put on me in regards to getting the analysis completed as soon as I could.

I noted in my journal that I was pleased to have had the opportunity to meet with researchers and scholars as in my previous capacity I had enjoyed working with faculty members and learning about their research interests. I also recounted that this situation, in my new role as a student and researcher, provided me with an opportunity to connect with people in a different capacity, and I hoped my future work, whatever that might be, would allow me to learn even more about their research, hopes, and aspirations.

I also noted that three individuals agreed to take part but we never did arrange a suitable time to meet and I did not pursue these individuals. I contacted each of them on two occasions then decided that was enough. I also had one individual turn down my request for an interview. My first reaction was of surprise and then I began to question why she had decided to say no. She had not mentioned time as being a factor, but instead suggested that she would not be of any use to me. She seemed to misunderstand my

request as she noted that she was still engaged on a SSHRC project and could not provide me with any information that might assist me at this time because she was still involved in the project.

Her refusal reminded me of a time when I also wrestled with a request to take part in a research project several years earlier. I had been asked to reflect on work I was doing and an individual who was in a position of power over me was collecting the data. In my journal I recalled how I felt and what the repercussions might be if I agreed or did not agree to participate and pondered the ethical implications of such a request. I decided to meet with the research assistant who was given the task of interviewing me but did not permit her to use an audio recorder. I also insisted on seeing her notes once they were completed. It was this instance, early on in my PhD studies, that encouraged me to think about academic integrity, ethics, power, and coercion in the context of academia and the conduct of research.

My journal also included comments concerning respect for respondents' time and knowledge. I was grateful that they would take time from their busy schedules and after each meeting I sent a hand written thank-you note to the participant. As a result, three responded in emails indicating how they had enjoyed the process and looked forward to reading my results. As I wrote these thank-you notes I was moved by their thoughtful responses and the bond I was beginning to share with them, as I was now gaining entrance to their realm of researcher and scholar.

This foray into scholarship was reflected in my journal. A mix of facts and thoughts, these annotations provided me with a method of self-imposed reflection, recognition, and reconciliation. At first I thought this exercise was a waste of my time, but I soon realized

that it did provide me with an "off the record" personal and reflective forum within which my ideas could percolate and my confidential thoughts could be aired. This journal proved to be invaluable as I moved forward into the transcription phase; one I thought would be a time consuming and not-so-helpful exercise that I had to undergo in order to get to the more exciting analysis stage.

At this point I wrote down the pros and cons associated with contracting this task out to another person, but ultimately decided that I should do this work myself in order for me to learn how to efficiently transcribe and make use of the available technology. New technology is a source of frustration for me as I am not comfortable with it.

For example, prior to undertaking the interviews, I spent countless hours trying to find new voice recognition software programs that I was assured existed and would meet my needs, according to the mostly young, male, techno-savvy, sales people in the various technology related stores that I visited. I bought and then returned two audio recorders that did not perform as I had wanted. Finally, I purchased and learned how to use an audio recording device that allowed me to save the recording on the computer. I then downloaded a free program from the web that permitted me to listen to the interviews with or without headphones, while at the same time managing the speed and sound quality. As a result, there were never any issues related to my ability to understand or hear the responses.

My decision to tackle technology was also made in conjunction with my desire to ensure the data were transcribed accurately. In addition, I needed to ensure there was quality control in relation to the kind of on-the-spot decision making that is necessary during this phase.

Accuracy

Since I had completed the interviews myself and taken some hand-written notes during the process, doing my own transcription provided me with another opportunity to review the data through listening and typing the responses. I developed my own self-agreed upon conventions that I followed throughout the entire process. For example, I did not write down when the respondents paused, the cross talk that occurred between us, changes in pitch or voice levels, laughter or other demonstrative expressions, coughing, or interruptions such as phone calls, noises in the hallway or knocks on the door (Tilley & Powick, 2002). My conventions were designed to address the specific purpose of my research and the plans I had for the analysis. I was not studying language or syntax, for example, but rather I was interested in uncovering "codes, categories, and themes connected to understanding participant experience" (p. 295). The conventions I created for this transcription did not necessitate the inclusion of information that might be related to language. I was not concerned about the text being grammatically correct or polished, but I did want the narrative to be reflective of the language and culture connected to the research emphasis and context (p. 301). I knew that I would be more knowledgeable than any transcriber that I might hire.

On-the-Spot Decision Making

As I began the transcription process, I understood that I would be making decisions along the way that would impact on the quality and type of information that would result. I noted this understanding in my journal and the various decisions I made along the way in order to maintain a record of the rationale behind my decisions and to ensure they were

consistent all through the process. If I had hired a transcriptionist, she or he might not have shared in this decision-making process or ensured it remained consistent.

Time, Money, and Quality

The kinds of decisions I made in regards to the transcription process, were also connected to my feelings regarding, the allocation of time, money, and the quality of the research. As a full time student, I had more time than money, which was not the case when I was working full time where the reverse was true. At that time I was prepared to pay someone to assist me with the transcription but what was prudent to me then, was not relevant once I became a full time student. Based on this change in my status, it was more cost effective for me to transcribe my own interviews, in terms of time, money, and ultimately, I believed, quality.

I am not a fast typist and I assumed that it would take me a great deal of time to undertake this task. In making a decision to transcribe the data myself, I factored in the time it would take to hire someone, set up meetings to explain my conventions, and check the results for accuracy; therefore, in the end I decided that my slow typing would be offset by the time it would take to organize the hiring of a transcriptionist.

In regards to quality of the final product, I felt that I was the best person to complete all the transcription tasks and create tables, figures, and narratives that would be associated with the data that I had collected.

Ethics, Data Collection, and Transcription

The ethics approval process was followed as per Tri-Council guidelines and an application was made and approval received. What became clear to me during the data

collection and transcription process was the ongoing ethical decisions that I would make long after the original approval was given.

I considered the impact that ethical decision making, during the process of gathering data, would have on my project. Ethical considerations do not stop at the approval stage and the Research Ethics Officer at SOU was instrumental in assisting me with identifying issues related to the approved application as well as ongoing ethical considerations when conducting the research. During the data collection and transcription phase, ethical questions did arise, for example: *Should I delete information I feel is not relevant to the question?* (I decided to delete 3 minutes of one interviewee's comments as they were of a more personal nature). I wanted to make sure that my ideas regarding what is important or relevant were not reflected in how I transcribed the data; and *Should I attribute quotes I will use in my thesis to specific individuals?* (I asked two respondents how they felt about my including quotes and both did not want me to give any information that might identify them. After this response, I decided that any quotes I inserted into the text would not be identified in any manner that might indicate who they were).

I wanted to be able to make my own decisions that I knew would arise as I began to transcribe. For example, I asked myself questions such as: Do I paraphrase or write word for word? I decided to write word for word. Do I leave in extraneous information and how do I decide what is extraneous? This question was difficult to answer in a consistent manner and was dealt with on a case by case basis.

Each case was handled on its own merit based on the context. For example, in one instance I did not include approximately 3 minutes of narrative from one respondent as the information would most probably identify the person and I decided that this information

was of a more personal nature and not relevant to the question. It was my own knowledge of the individual, the context, and the circumstances that allowed me to make what I felt were informed and accurate decisions. A hired transcriptionist would not have been in a similar position.

In addition to the questions noted above, I felt that it was more ethical to transcribe my own work due to the low number of respondents and the need for confidentiality. Even though my ethics application indicated that I might use research assistants to help me in this regard, it became increasingly apparent that the respondents felt more comfortable knowing that their identity was known only to me. By the third interview I had decided to tell respondents that I would be doing the transcriptions myself and that I would only engage a research assistant to help me with using NVivo, a qualitative software program. Prior to engaging this assistant, I would also strip identifying information from the data.

Cleaning the data was only one of a series of ethical issues I wrote about in my journal. For example, because I had been involved in research administration prior to conducting these interviews, some of the respondents provided me with information that I knew was inaccurate, but provided as a result of their particular viewpoint. In these instances I did not correct them but noted in my journal what they had said and why I did not comment.

At other times during the interviews, some respondents would seek my approval or disapproval of their perceptions about the program or a series of events they were relaying to me. I found myself in a dilemma as to how to respond; so, I varied my answers according to the circumstance (Denzin & Lincoln, 1994). For example, in one instance I suggested that this individual knew more about his/her specific project than I did so that

my opinion would be ill-informed. On another occasion I did correct the information given to me by the respondent in regards to SSHRC related criteria as per the participant's request. These examples highlight what Denzin and Lincoln suggest is a way to "exercise common sense and moral responsibility..." (p. 373).

These examples also highlight another challenge as outlined by Dexter (1970) in regards to his discussion of elite interviewing and power during the process of conducting the research. He defines elite interviewing as a situation whereby the interviewer is "willing and even eager to let the interviewee teach him what the problem the question, the situation is" (p. 19).

In my case, I found that this concept of the elite interview worked both ways. In one instance, the respondent would be in an elite position in regards to his or her superior understanding of the research process, over mine. In another instance, I might be in the elite category in regards to my understanding of the various programs offered by SSHRC and my more global knowledge of the pitfalls associated with being involved in such a collaborative endeavour. Therefore, I needed to anticipate the potential power dynamics that might emerge prior to going into an interview and determining how I might respond.

Skill Acquisition

The previous section outlined some of the ethical decisions I made along the way and in the process I developed a series of new skills and uncovered additional ones that I decided would have to be honed at a later date. One of the skills I did develop was the ability to transcribe data. Although at the time I did not initially regard transcription as a skill I wanted or needed to develop, but as time progressed I realized that this task was important for me to learn so, that if and when I assumed a leadership role myself on a

research project, I would be cognizant of the intricacies of transcription work. I read several articles on the rewards and challenges associated with doing my own transcription so that my understanding was enhanced.

Prior to making a decision to transcribe my own interviews, I wondered if six interviews would be sufficient, as I had indicated in my proposal. As I set up and engaged in the data collection process, I decided that I wanted to do more as the responses were so interesting and diverse: I decided to double the number to 12.

During the process of conducting the interviews, I reviewed my data collection techniques knowing that research designs "adapt, change, and mold the very phenomena they are intended to examine" (Denzin & Lincoln, 1994, p. 201). I knew that this process was important. I referred to Creswell's (1998) eight procedures for evaluating the quality of my method as I went along to keep me on track.

For example, Creswell (1998) notes that the researcher should be engaged in the work for a significant amount of time in order to build trust, a thorough knowledge of the topic, and to understand the context, the players and the problems. I felt that I was well versed in the topic having been employed at a university for several years and having had the opportunity to talk with faculty members about their leadership and collaboration issues before I engaged in this study.

In addition to understanding the importance of my topic and its history, I needed to enhance confidence in myself and the work I was doing. I followed Creswell's (1998) suggestion that triangulation methods should be used for ensuring validity, and there are several ways to triangulate my sources. I chose people who had been involved in SSHRC grants at different points in their careers, in various capacities, and who were from both

genders and a variety of linguistic cultural, familial, work, and educational backgrounds and ages.

I also used another triangulation technique. I organized my data manually into themes and then inserted the same information into NVivo, the qualitative software program that helps the researcher to organize the data into themes as well. I compared the results from both methods to see if they corresponded in a logical or understandable manner or if there were any glaring discrepancies that might need to be explained. There were none. By transcribing then organizing the data in two different ways, I became more immersed in the responses and their potential meanings and more confident of my results.

I also verified my data by going through a process of member checking by emailing the respondents with quotes I was planning to insert into the dissertation for their review, comment, and ultimate permission. This process served to reengage the participants as I continued to work on my dissertation and keep them apprised of my progress. This task also served as an external audit, in addition to the assistance that my committee members provided in this regard as well.

Technology and Data Analysis

I remained vigilant in regards to following Creswell's (1998) evaluative criteria, when transcribing the data and creating tables with the respondents answers to each question. These tables included responses from each of the 12 participants so that they could be compared. For example:

Question #1

R#1 Response	R#2 Response	R#3 Response	R#4 Response	R#5 Response

Question # 2

R#1 Response R#2 Response R#3 Response R#4 Response R#5 Response

I also created other tables that listed responses to all questions by each respondent as noted below:

R#1's answers

Q#1 Response Q#2 Response Q#3 Response Q#4 Response Q#5 Response

R#2's answers

Q#1 Response Q#2 Response Q#3 Response Q#4 Response Q#5 Response

After organizing them as previously described, I reviewed the information from both sets of tables to determine if there were any themes that were emerging.

In addition to organizing my data by hand, I also employed the services of a research assistant, who helped me to enter my data into NVivo, a software program designed to assist researchers with qualitative research analysis. I decided to try this program instead of the usual methods I had employed in the past such as using Microsoft Word and doing word searches, or cutting and pasting text into theme areas. It was my understanding that NVivo was the tool of choice for qualitative data analysis and after the initial inputting of data and coding, analysis would be easier. I had some misgivings as my sample size was not large and I was not sure if it was worth the time to learn how this program worked.

As part of my assessment of the efficacy of NVivo, I consulted two graduate students who had used this program extensively and their comments were positive. Both suggested that coding had to be done initially but after this time consuming process, the analysis would be more comprehensive and easier to complete. I also consulted two articles; one by

Betul Ozkan (2004) and one by Christine Barry (1998). These authors focused on the pros and cons of using qualitative software.

The positive aspects of using qualitative software or computer assisted qualitative data analysis software (CAQDAS) were significant. For example, this kind of software is designed to help automate the coding process thereby saving time in the long run. At the same time, it provides researchers with tools that are better able to create "a more complex way of looking at the relationships in the data" [and] a formal structure for writing and storing memos to develop analysis and aid more conceptual and theoretical thinking about the data" (Barry, 1998, para. 2.1). CAQDAS also adds "rigour and prestige" (Ozkan, 2004, p. 590) to the analysis and "data can be coded easily in NVivo and the software supports analysis of different types of data" (Ozkan, 2004, p. 591).

Ozkan (2004) also suggests that "it is difficult to summarize and categorize constructivist implications" (p. 592). NVivo assists with this kind of data collection and analysis as it has "a very sophisticated search tool which can be very useful while working with a group of researchers or while dealing with large data files" (p. 596). Transcribed interviews can be transferred to NVivo in order to organize and analyze textual data and categorization can be done according to demographics or other groupings (Barry, 1999).

CAQDAS can also be manipulated to meet specific needs as the "structural design of the [NVivo] software" is relatively user friendly (Ozkan, 2004, p. 593). Specifically, it is a powerful way to do "sophisticated data coding and supports ways to build theories, either local or general" (p. 594). NVivo can also provide the researcher with a method of looking "at coded segments of the data in context so that it [is] possible to explore coded passages without separating them from the material before and after" (p. 594). This software makes

it "easy to do cross case analyses, to reorder the codes and add memos about potential relationship to files and to play with the data" (p. 594).

Ozkan (2004) also suggests that time is saved when using this program in the long run, although the initial coding is time consuming. It allows the researcher to manage the data and organize them in ways that allow the researcher to reflect on the information.

The negative aspects of using this kind of software are also significant. For example, a researcher still has to do the time-consuming task of coding the data and the program is difficult to learn. Unless the user plans to use the program at some time in the future, it may not be worth the time to learn it and, in addition, NVivo may not save time unless there is a large enough sample.

Training programs, offered by the manufacturer, can be expensive and inconvenient, and the program itself is expensive. NVivo encourages the researcher to undertake a specific type of analysis that suits the program (Barry, 1998) and the researcher can be "seduced by the capabilities of the software into treating categorically indexed slices of data as more concrete variables, and conducting quantitative variable analysis" (Barry, 1998, para. 2.5). In summary, this program, like other CAQDAS programs, is just an additional tool in the arsenal that researchers use to complete their work.

Based on my discussions and the information gleaned from these two aforementioned articles, I decided that the positive points outweighed the negatives and I proceeded to learn only as much as I needed from this program. Not being tech savvy, I was not overly enthusiastic about the prospect of learning this new technology but decided now was the time to challenge myself on this front. What I did learn as I progressed is that

this technology can only take me so far in regards to showcasing the data, but not so much in the analysis. As I became more familiar with the program, I tended to agree with Barry (1998) in his assessment that this program takes qualitative data and puts them into a quantitative form.

Coding and Data Organization

Once I determined that the NVivo program would be of benefit to me, my first step was to input and code. This undertaking proved to be more challenging than I had anticipated. I was forced to make another set of decisions that involved questioning my ethics and biases while critically reflecting on the efficacy of some of the questions. Based on the answers I had received, it became clear that my quest to develop the perfect question was not a total success. For example, question 4 seemed problematic as several of the respondents did not seem to grasp the meaning. As a result, much of the data I collected on this question did not seem appropriate. I determined that it was poorly worded and of little help in answering my research question.

Coding also reinforced my decision to transcribe my own data as I was better able to make decisions based on the prior knowledge I had obtained from taking part in the interviews and then transcribing them. By the time I was at the coding stage, I had begun to form some ideas about the data even though I was still compelled to read the responses several times more as I embarked on the process of narrowing the responses to fit into categories.

As time progressed these categories were further refined as I interfaced with NVivo. In the language of NVivo, I called respondents *cases*, the questions were referred to as *free nodes,* and the subcategories I created were called *tree nodes.* This refinement involved

reviewing the data in order to glean pertinent information that addressed the question, then setting aside information that did not.

At this point in my data analysis, I included categories or nodes that did not necessarily fit tightly into the literature that I had read in preparation for this research. I decided that I was not going to attempt to fit the responses into what I *had* read but rather what I was *currently* reading. For example, the process I used for the first question was to create 6 categories or tree nodes that included: autocratic, benevolent dictator, leading by example, and consensual/collaborative. I amalgamated *shared* and *democratic* with *consensual/collaborative* narrowing down the categories to three. I completed this same exercise in regards to defining my categories with all of the questions.

During this entire process I continued to question my thought progression and reasoning behind the decisions I was making in regards to developing a system for organizing my data. I asked myself questions such as: Do the data really fit the categories or tree nodes I am creating or am I creating tree nodes that suit my viewpoint? Am I reading the information critically enough in order to make an informed decision and, if not, how much time is necessary for this task? Am I over or under analyzing at this point? Can I change my mind as I manipulate the data even further? Do common themes emerge and, if so, do they illuminate the subquestion and in turn the research question? Are there deviations from these patterns and, if so, does my knowledge of the individual and the context help or hinder in my assessment of these deviations? Do the stories that emerge illuminate or muddy the responses? Does it appear that the responses relate to the literature and does it matter if they do? Is there new information and, if so, can I explain where this new information comes from?

It was at this point in my data analysis that I referred once again to Glaser & Strauss (1967), and also to Miles & Huberman (1994) for assistance with my coding methodology. The latter two authors suggest that there are "three concurrent flows of activity" (Miles & Huberman, 1994, p. 10) and they include "data reduction, data display, and conclusion drawing/verification" (p. 10). They also believe that when starting the data reduction process, it is best to begin with a "start list" (p. 58) while still in the field, but I chose not to create this list during my data collection phase, but instead during the coding period which I felt was more conducive to an inductive approach.

I also consulted with Goetz and LeCompte (1984) who also describe the reasoning behind reducing the data. They believe that this process assists the researcher in making connections to the literature and journal while formulating deductions, creating meaning from patterns or lack thereof, dissecting stories, and engaging in a recursive process that allows the researcher to build on existing and new knowledge.

Conclusion

During the 1980s, when I completed a master's degree, I had been schooled in quantitative data collection techniques; so, deciding to conduct interviews was a change for me. Preparing for the data collection and anticipating the potential responses and my reaction to the responses was in my mind prior to conducting the interviews and during the data collection phase. As a result, I did change the questions after the first interview and slightly after the second one.

I was also interested in how ethical decision making took place during all phases of the process and how I rationalized each decision I made along the way. How I engaged with the respondents prior to, during, and after the interviews was also of interest to me as

noted in my journal. Perhaps most noteworthy, however, was my own perhaps over-excited reaction to the interviewees, their comments, the description they gave of their research, and their challenges and successes. The entire process was a new learning experience for me, quite removed from the one I had undergone in the 80s when I completed my master's degree.

Preparing and revising questions, employing technology, practicing how to conduct an interview, and thinking about the process, the product and the integrity of my work was continually on my mind. The next chapter discusses these issues and others that I encountered along the way in addition to providing an initial analysis of what I discovered.

CHAPTER FOUR: DATA ANALYSIS BY QUESTION

This fourth chapter lists findings for each question, identifies patterns, and provides examples of some of the respondents' narratives. This section provides data related to the results of each interview question with observations and tables that are inserted to summarize the data and results. The conclusion serves as a lead into the fifth chapter whereby the results are discussed in greater detail.

Question One

As you think back on your experience in this collaborative group you are currently engaged in, what comes to mind immediately about leadership in this group?

The majority of answers I received in response to this question fell within the servant leader, shared, democratic, distributive, collaborative, consensual, or participatory (SDCP) literature in regards to the leadership being assumed by individuals who have the skills needed at the time. In this academic environment with its high value placed on various forms of shared or democratic leadership, it appeared from these responses that this style was preferred, even if it was not always followed or deemed to be the most efficient at times.

For example, as I continued to analyze the responses most of the participants indicated that they were focused on some sort of shared leadership, yet from their descriptions, it also appeared that they were referring to a form of benevolent dictatorship as well. I did not realize this result was emerging until one individual (#7) referred to this term and went into a detailed explanation of what that meant and why it was a preferred method. As I reviewed the responses to this question by all the participants, I compared them to respondent #7's discussion of benevolent dictator (BD) and found similarities that

led me to believe that some of them were discussing this BD approach in conjunction with the SDCP category. This confusion did serve to support the literature in regards to leadership being context specific, changing over time, and keeping up with the external and internal forces acting upon the group.

The responses to this question are explained in more detail in Table 5, on the next page, and in Chapter Six as well. The responses ranged along a continuum from *autocratic* or high leader influence to *laissez-faire* or low leader influence. When coding this question I created four categories to reflect the style of leadership that I believed the respondents were describing. The numbers in this table do not add up to 12 as two respondents said that the leadership morphed from democratic to leaderless or laissez-faire and I included this information in both categories (e.g., democratic and laissez-faire).

Table 5 combines the leadership types that appear often in the leadership literature, (e.g., Bass, 1990; Rooke & Torbert, 2005; Yukl, 2006) with the categories that I created based on the results of my research. These leadership types are listed with corresponding descriptions and numbers of respondents who mentioned this type in their responses.

The first type is autocratic or also known as *paternalistic* or *primitive* leadership. The second type of leadership was one that is not as popular in the literature, but is a style that one respondent found particularly useful when working in collaborative research groups and it is benevolent dictatorship. It seems to correspond with Rooke and Torbert's (2005) achiever/expert leader who is a person with an acknowledged expertise and who likes to move work along in a timely manner. It is a useful method when timelines are tight and the group has already decided to trust a predetermined leader to make appropriate decisions.

Table 5

Categories of Leadership, Leaders, and their Characteristics

Autocratic, Paternalistic, or Primitive Leadership	Benevolent Dictatorship	(SDCP) Servant, Shared, Democratic, Distributive, Collaborative, Consensual, Participatory Leadership	Laissez-Faire or Leaderless Leadership
Opportunist	Achiever/ Expert	Individualist, Strategist, Alchemist	Diplomat/ Expert
1 Response	1 Response	10 Responses	2 Responses
Self centred, mighty, minimal employee input, manipulative, threats and punishment. The principal investigator or similar key person makes most or all the decisions. Rooke and Torbert (2005) call this person an *opportunist.* **When to use**: Group members may not respond to other forms of leadership; Training new group members; There are tight time limitations for decision making; Rules and regulations must be followed; and A previously poorly managed group needs to be supported. **When not to use:** In environments where members are used to sharing their and being respected for them or when communication and trust are highly valued.	This person encourages creativity and questioning by the group members, has a high expectation of him/herself and other group members, and is trusted by the group to take action when needed. This type of leadership combines elements of Rooke and Torbert's (2005) *achiever* and *expert.* The former is a person who is expert in a particular field, and the latter is a person who likes to move things along in a timely manner. **When to use:** Time constraints are particularly tight and decisions must be made quickly; and After some deliberation with other group members. **When not to use:** When developing new ideas; and Where significant input is needed e.g. at the beginning stages of an idea or group.	SDCP is a combination of a variety of democratic or shared leadership styles. It also incorporates three of Rooke and Torbert's (2005) seven types of leaders: *individualist* (fills gaps between what needs to be done and strategies to get it done); *strategist* ("exercises the power of mutual inquiry, vigilance and vulnerability" p. 3); and *alchemist* ("integrates material, spiritual and societal transformation" p. 3). ***Servant:*** Priority is given to the needs of others over self. ***Shared:*** Skills determine who assumes leadership so it changes as the needs of the group change. ***Democratic*:** Members share decision making and have equal input and vote if necessary. ***Distributive:*** Group members' skills are recognized, celebrated and leadership changes- similar to shared leadership. ***Collaborative*:** Group members have a high level of trust in each other and leadership changes. ***Consensual:*** Respects the value of power *with* instead of power *over* and encourages group members to work on agreed upon decisions that fit the larger goal. ***Participatory:*** The leader involves other group members in decisions. **When to use:** Each leadership type should be used when deemed appropriate at a particular time or for a particular need. **When not to use:** In highly structured environments where rules and regulations are important and seeking input is inappropriate.	Little or no direction from the leader. It espouses a hands-off approach and Incorporates elements from two of Rooke and Torbert's (2005) seven types of leaders: the *diplomat* who "avoids conflict, wants to belong, obeys groups norms, rarely rocks the boat"; and the *expert* who is "good as an individual contributor" (p. 3) but may not make the best leader. **When to use:** When group members are highly motivated, experienced, skilled, and take pride in their work and get it done. When trust is highly valued, respected, and proven to be supported. **When not to use:** When the group is large, trust in each other is misplaced, and/or members want feedback.

The third category of leadership I have listed in Table 5 is a combination of a variety of shared or democratic styles of leadership. These styles roughly correspond to the Rooke and Torbert's (2005) individualist, strategist or alchemist. This category is quite broad and includes a brief explanation of servant-leader, shared, democratic, distributive, democratic, collaborative, consensual, and participatory leadership styles. The final category noted is laissez-faire or diplomat/expert (Rooke & Torbert, 2005). This leader provides little or no direction, which at times can be an appropriate leadership model, but is dependent upon a group that is highly motivated, has established a high level of trust among members, and has great pride in their collaborative work.

The difficulties inherent in utilizing any of these different styles of leadership is in regards to determining which one is most appropriate at any given time. This ability to identify the optimum leadership style requires a skilled leader or leaders who can change as the situation demands. Issues arise when leaders are not able to adapt, or who try to adapt but misread the situation such as was noted by some of the respondents as below:

> I think it [leadership] morphed over time. It began as a small group of people collaborating very closely…There was a friendliness; very inclusive, but that changed over time.
>
> The project was based on a collaborative non-top-down approach although I think it evolved during the life of the project for a number of reasons… it moved from 'Let's work together and create a vision' to 'that's never going to happen…' It started out collaborative then changed to get things moving.
>
> At times it was hard to determine who was going to gain from this project so the leadership waffled between autocratic and an attempt at being democratic.

> An example of a successful read of the situation was noted in the following comments: We share leadership depending upon the task we are undertaking. We recognize each other's skills… know our roles and trust each other…We are all hard workers. We all meet deadlines and when a task is identified it is completed…I would say it is collaborative style of leadership. Our process is very democratic, not just between us as coinvestigators, but with our research assistant as well…This was not written down in a contract but we just talked about it… Our leadership is more consensual than shared. We agree on the split…There is so much mutual trust and respect for the other's time and process…

A summary of all of the responses to the first question cross referenced with the attributes of the respondents is included in Table 6. I have not included gender in this table to avoid the chance that identities of the individuals may be recognized. In addition, the results noted in this table, add up to twelve according to the actual number of respondents, so these figures differ from Table 6, as previously mentioned. The data displayed in the table are inserted in order to summarize the results and are not intended to be representative of a larger sample, be generalized to a larger population or show any kind of statistical significance. Other tables included in this chapter are provided as summaries as well.

Question Two

From your perspective as a PI, coinvestigator, or collaborator, what do you see as the major disadvantages associated with the form of leadership that is/was practiced on your project? What are/were the major advantages?

Table 6

Age Range, Career Stage, Faculty Affiliation, Role, and Length of Time on the SSHRC Project, and Leadership Type on SSHRC Funded Collaborative Research Grant

Age Range	**Autocratic leadership**	**Benevolent Dictator**	**SCDP=Servant, Shared, Democratic, Distributive, Collaborative, Consensual, Participatory**	**Laissez-faire**
30-39	0	0	2	0
40-49	1	1	7	0
50-59	0	0	1	0
60-69	0	0	0	1
Career Stage	**Autocratic Leadership**	**Benevolent Dictator**	**SCDP=Servant, Shared, Democratic, Distributive, Collaborative, Consensual, Participatory**	**Laissez-faire**
Early	0	0	2	0
Mid	1	1	7	0
Late	0	0	0	1
Faculty Affiliation	**Autocratic Leadership**	**Benevolent Dictator**	**(SCDP=Servant, Shared, Democratic, Distributive, Collaborative, Consensual, Participatory**	**Laissez-faire**
Applied Health	1	0	2	0
Social Sciences	0	0	2	0
Math and Science	0	0	1	0
Humanities	0	1	0	1
Education	0	0	1	0
Business	0	0	1	0
Community	0	0	2	0
Respondent's Role	**Autocratic Leadership**	**Benevolent Dictator**	**SCDP=Servant, Shared, Democratic, Distributive, Collaborative, Consensual, Participatory**	**Laissez-faire**
PI	0	1	4	0
Co investigator	1	0	4	0
Collaborator	0	0	1	1
Length of Time on Project	**Autocratic Leadership**	**Benevolent Dictator**	**SCDP= Servant, Shared, Democratic, Distributive, Collaborative, Consensual, Participatory**	**Laissez-faire**
1 year	0	0	2	0
2 years	0	0	1	1
3 years	1	0	3	0
4 years	0	1	3	0

*Note. Although only one person talked about laissez-faire style of leadership as being predominant, one other respondent talked about this style in reference to another project (s)he was on. As a result, it was not noted in this table.

Table 7 outlines the disadvantages to the two styles of leadership that were noted at opposite ends; autocratic and laissez-faire.

All three individuals indicated a negative side to these styles, and had nothing positive to say about them. The lone respondent who talked about benevolent dictatorship noted that the advantages were: (a) getting the work done in a timely manner; (b) ensuring communication is clear and ongoing; (c) being organized; (d) allowing you "to move quickly"; and (e) being clear as to whom the leader is and the scope of the other roles in the group. The disadvantages included: the perception by some group members that perhaps they are not being heard as a result of not devoting enough time to a democratic process. R#7 felt that the advantages outweighed the disadvantages.

Table 8 includes a summary of comments related to the various forms of SDCP leadership that formed the bulk of the responses to this question. The numbers do not add up to 12 as some individuals had more than one answer to this question. What is of particular note is the reference to *time* that most respondents in one form or another alluded to in their response. A search of the word *time* yielded 37 hits and was the word most often used by respondents when describing their experiences.

Other terms that were used more than once, and by more than one person included: democratic = 8; shared = 4; trust = 4; collaborative = 3; input = 2; natural leadership = 2; intellectual leadership = 2; inclusive = 2; and open = 2. Some comments are included below in regards to the challenges or disadvantages noted by respondents:

> One challenge is having a clear idea of what the sub-research agendas are. It is important because as academics we are bad at understanding what each other is doing. So, you need to make sure that you are all on the same page…the benevolent

Table 7

Advantages and Disadvantages of an Autocratic and Laissez-faire Leadership Style

# of Responses	Disadvantages
1	The *autocratic* form is not conducive to a collegial atmosphere and is disrespectful of the skills of highly educated individuals.
2	The *laissez-faire* style can lead to a group that falls apart and is not cohesive. Members wander off and work does not get done. The trust that is inherent in the democratic leadership style is not always respected and then the group becomes leaderless.

Table 8

Advantages and Disadvantages of a SDCP (Servant, Shared, Distributed, Democratic, Collaborative, Consensual or Participatory) Leadership Style

# of Responses	Advantages	Disadvantages	# of Responses
6	Allows team members to share ideas regarding the management of the project and the direction of the research.	Time	12
4	Allows for diversity in viewpoints.	Being too democratic with students who are research assistants. Being inclusive is a good idea but RA's are the paid workers not decision makers.	3
1	Gives everyone a voice.	Not all members of the group want to engage in the leadership.	3
1	Ensures complexity of questions and meaningful results.	Expectations are not always met.	3
4	Allows those with the skills to assume the leadership when they are the experts at that particular time.		

dictator can do a better job of making sure they get what they need… [but if] they are not getting what they thought they were getting, then obviously you are no longer benevolent. So the challenge is to be crystal clear about how things are going to be done.

Challenges? I think would be an understanding and appreciation of people's different perspectives and also different methodologies, both theoretical and design.

The other challenge would be time. When you are dealing with three, four, or five people something as simple as organizing a meeting is difficult… the disadvantage with democratic leadership is that sometimes you don't want to take part in it.

We are all time starved so where things go wrong with the democratic style is that you have too many meetings so you make a commitment to a specific number of meetings.

Academics are great ideas people but not really good on the logistics. So, one of the major challenges is not the lack of ideas but the action that needs to be laid out and… this needs to be laid out up front and that is not often done. I call this 'upfront structure'. An autocratic leadership style, however, does not solve this issue and leads to dissention.

The advantages included:

The leveraging of multiple knowledges of different scholars to produce something bigger than each of them doing something separately e.g., the whole is greater than the sum of the parts. I think in certain cases that can happen.

There is an excellent cross-pollination of ideas in a shared model.

The strengths are the ability to generate better and more whole research in diverse

groups.

I actually really like the idea of two or three brains working towards one goal and two or three brains that have different lenses but that are complementary lenses.

Question Three

If you could develop a perfect leadership model for this collaborative project, what would that look like?

Several respondents mentioned that they did not know the precise terms to describe the leadership model they felt was ideal. I mentioned to them that I was not looking for a specific definition or term but rather their ideas. Words that emerged more often than three times as a result of a word search included: management = 12; collaborative = 7; open = 6; trust = 4; democratic = 4.

The majority of respondents felt that some sort of shared leadership was optimal, but a leader should also be able to make quick decisions when needed.

Committed leaders are willing to take the bull by the horn.

Democratic but then autocratic when needed. It is hard to determine when being autocratic is appropriate and that takes a great deal of skill.

Built on trust, expertise, and everyone pulling his weight. Sharing of the leadership based on the expertise of the team member.

Currently the leadership is a function of the personality of the PI but the precipitating factor is then enhanced by the structural limitations of the SSHRC set-up.

It is what we have already. With all the projects I am on they work well. We have complementary skills. The people I work with have the same drive or motivation. I knew this when I got involved with these people so this is important. I know their

work ethic and what they are willing to contribute. I had worked with these people before.

One individual was clear in his/her assessment that benevolent dictator was the most efficient form of leadership as it includes some democratic principles but also ensures that the work is done in a timely and efficient manner.

Question Four

Describe a time when changes in the group occurred due to: a) the leadership; b) the natural process a group goes through as it changes to address internal and external influences; and c) both the leadership and other influences impacting together?

Table 9 summarizes the responses to this question. It appeared that this question caused some confusion as several participants felt they could not distinguish between the categories as they were interrelated, resulting in the majority of the respondents answering that both leadership and natural group process contributed to changes in the group. Only two suggested that leadership was the main cause for changes in the group and three due to the natural process that a group goes through over time.

Comments to this question included:

The leadership was very intense and critical.

The group dynamics changed when the PI experienced a death in the family. We overlooked her disorganization and renegotiated tasks.

The group did not change from the original concept we had created.

I think it was a natural group process. There was not a concerted decision on the part of the leaders. It was based on running out of money, falling behind on the research, the timelines, so all of these things would have an impact on the uniformity.

Table 9

Changes in Group Dynamics due to Natural Process or Leadership or Both

Leadership	**No change**	**Natural Group Process**	**Both Leadership and Natural Process**
2	1	1	8

> One particular project changed due to the natural changes in the people…It was the natural group process.

Only one individual noted that there was no change in the group over time. This respondent indicated that the group did not change over time. (S)he attributed this situation to the fact (s)he had already worked with his/her colleagues prior to creating a more formal group for the SSHRC project. He/she noted that the group members had already collaborated on prior projects and knew the various styles of the group members and their work; thus, it was clear how the project would be lead and managed. In addition, to this point, there were no intervening crises or other issues that might have caused the group to change over time.

Some projects are led by academics that are intelligent and well known in their fields, but they may not be well organized resulting in the wasting of time and other resources. This lack of administrative know-how frustrates group members, all of whom are time starved. There was an appreciation by respondents in regards to needing knowledgeable, well know, and intelligent leaders, but these individuals may not be the best project managers or leaders.

Question Five

Describe a time when the type of leadership practiced within your group contributes or contributed to its success or lack of success?

Table 10 summarizes the considerable diversity in responses to this question. Three individuals indicated that perhaps there should be a division between leaders who are excellent academics and those who are excellent administrators. The skill sets needed are different, yet an understanding and appreciation of the importance of both is essential.

Table 10

Leadership Practices and Success

Good Communicator	**Good Leader = Good Academic**	**Good Leader = Good Administrator**	**Good Leader Gets Lots of Work Done**	**Poor Leader = Main Reason for Project Failure**
2	1	3	4	2

If success is measured in publications, then a good academic is key to the leadership.

At the end of the day the leader is responsible for the output.

The PI is a fabulous academic and incredibly intelligent and well known

just not good at administrative stuff.

Question Six

What do you think constitutes a successful SSHRC project?

Similar to Question 5, this question resulted in a diversity of responses. Two individuals followed the SSHRC guidelines when discussing what success meant. For example, SSHRC highly values student training, publications and obtaining more grants. It was interesting to note that the majority of responses did not directly follow the SSHRC guidelines, however, as noted in Table 11.

Some comments related to this question were as follows:

A successful SSHRC means that research is done.

I would say personal growth of the scholar.

We were successful because we got funded.

You are developing long term research collaborations that you know will carry you.

Question Seven

Thinking back over the life of the project and your involvement in it, can you describe a time when you assumed an effective leadership role?

The responses, as noted in Table 12, ranged from having no leadership responsibilities to assuming a major role due to expertise. The latter response supports the literature regarding leadership and the expert (Rooke & Torbert, 2005).

Table 11

The Factors that Make a Successful SSHRC Project

Mentoring Students, Getting Publications and Grants	**One that benefits the Community or Participants**	**Results in Change**	**Scholarly Growth and Working With Good People**	**Work Gets Done**
2	3	1	3	3

Table 12

Respondent's Own Leadership Role

Never Assumed a Leadership Role	**Very Little Leadership Role**	**Assumed a Leadership Role Due to Expertise**
2	2	8

Highly educated individuals take pride in their expertise and expect to be provided with opportunities to utilize their knowledge and be respected for it.

Comments related to this question included:

> I did take on a leadership role. I was the one who was technologically ahead of the PI so that was the role I assumed. I would be asked to take on things that had to do with technology and taught the PI how to do it.
>
> I assumed the role because of my expertise.

Question Eight

If you did assume a leadership role, why did you and how did you know you were effective?

The most prevalent answer to this question was related to work being completed as noted in Table 13, and the three quotes provided here outlined some typical responses to this query.

> The goals of the project were reached. Students graduated and were trained.
>
> I know I am effective because the work gets done.
>
> I knew that I was effective because I chose students who…assumed strong pedagogical and leadership roles.

Question Nine

Can you describe an example that highlights when the leadership might not have been effective?

The diversity in responses was interesting resulting in the categories that are noted in Table 14. I was surprised to note that poor communication or administration skills were not noted more often, but upon further analysis, it

Table 13

Effective Leadership

Changed Occurred and People Were Engaged	**Everyone Had a Voice**	**Never Had a Role so Cannot Answer**	**Work Got Done**
2	3	2	5

Table 14

Ineffective Leadership

Individual Contribution was not Recognized	**Expectations of the Group Were not Met and the Work was Not Done**	**Poor Administrative Skills of the Leader**	**Poor Communica-tion**	**The Group was Leaderless**
1	8	1	1	1

suggests that communication was not optimal as group members would appear to have expectations that were not articulated clearly resulting in a failure to get work done or attain goals. The following two quotes would support this assertion:

> Just more of the ongoing lack of administrative issues… The PI would fret about things that may not be important and wasted time on these issues.
>
> When the work wasn't done and group members didn't produce.

The individual who noted that the contribution was not recognized, could also fall under a lack of communication category as this response would suggest that communication between the leader and the respondent was lax resulting in a failure to acknowledge and value the work. The leaderless category could also indicate a lack of communication having no leader may result in minimal articulation of goals, vision, expectations, or work tasks.

Question Ten

From your perspective as a PI, coinvestigator, or collaborator, on this project, can you describe how the leadership of this collaborative group impacts/impacted on the careers of the following members: principal investigator; coinvestigator; or collaborator.

Respondents understood the meaning of this question but several felt they could not answer the question on behalf of others in the group. This result was evident during the interview and coding process; therefore, as part of my coding, I inserted their answers according to the role *they played* on the project and not their perceptions of the impact of the SSHRC grant on others. Table 15 summarizes the responses.

Table 15

Leadership and its Impact on Careers of Researchers

Principal investigator	**Coinvestigator**	**Collaborator**
Positive Impact= 2	Positive Impact= 4	Positive Impact= 0
Negative Impact= 2	Negative Impact= 1	Negative Impact= 0
Minimal or no Impact=1	Minimal or no Impact= 0	Minimal or no Impact= 2

Only 2 participants felt that they could comment on how the leadership impacted on the careers of their collaborators. Some selected responses are included below for principal investigators who were almost evenly divided as to the impact on their careers as a result of the leadership on their SSHRC grants.

> The leadership has definitely impacted on the careers of the members and my career.
>
> I think it probably hampers my productivity because my time is sucked up in administration and day to day processes. So for the leaders it is more of a burden.

Coinvestigators had mostly positive comments to this question:

> I imagine that it is going to make me more effective as a teacher of a leadership class because it is new for me, an experience that I never had.
>
> It has done nothing but good things for me. The PI is internationally recognized, she is a big wig so I learned a lot as student then a coinvestigator and in my promotion and tenure. Working with her looks fabulous on my CV.

Both individuals who identified themselves as collaborators did not express any positive or negative experiences related to their careers and the leadership on their SSHRC grants as noted below.

> I work in a nonprofit agency so the impact on me was minimal but expect it did give me an appreciation of what it is like to conduct research and try to meet the needs of multiple partners. One of the collaborators was working in academia but a nonprofit agency instead, so this alternative view to the collaborative group was interesting.
>
> Community partners may not see a benefit to becoming involved in partnerships with

researchers as their reward systems do not support engaging in this activity, and they may feel in adequate or undervalued as noted by this respondent during the interview.

> I felt inadequate in regards to understanding research. At times it is intimidating working with professors who know so much more than I do about research and I did not feel knowledgeable enough to take an active role. I did not have the time to take on a leadership role and my employer does not value this kind of activity.

Question Eleven

From your perspective as a PI, coinvestigator, or collaborator can you describe how the leadership of this collaborative group impacts/impacted on the following: Your reputation within the university and outside the university; The reputation of the university; The quality and timeliness of the research results; and The quality and timeliness of dissemination of results made available to the larger community (e.g., those groups or individuals outside of the researcher's university).

This question was not necessarily answered as I would have expected and tended to generate substantial discussion but when I undertook the coding I noted that in several instances the responses did not fully address the question. Table 16 outlines the answers but the numbers do not add up to 12 as several individuals did not address the question directly even though this question resulted in a substantial dialogue in several instances. In hindsight, I did not obtain the results I had anticipated from this question and assume that the question was poorly worded.

During the interviews, however, several respondents indicated some strong opinions and samples of the kinds of responses provided by the interviewees are included here. For

Table 16

Leadership and its Impact on Quality, Timeliness, and Reputation of the Institution and the Researcher

Leadership's Impact on the Researcher's Reputation in and Outside the University	**Leadership's Impact on the Reputation of the University**	**Leadership's Impact on the Quality and Timeliness of the Research Results**	**Leadership's Impact on Quality and Timeliness of Dissemination of Results to Community**
Impact for researcher inside university Positive = 6 Negative =2 Not sure =2 No impact = 1 Impact for researcher outside the university Positive = 2 Negative = 0 Not sure = 5 No impact = 2	Positive impact on the university = 3 Negative impact on the university = 0 Not sure = 6 Did not impact on the university = 2 Did not care about impact on the university = 1	Positive impact = 2 Negative Impact = 2 Not sure = 2 No impact = 0	Positive = 2 Negative = 2 Not sure = 7 No impact = 1

example, two people suggested that due to the dysfunctional group within which they were situated that perhaps their reputations were damaged, at least within the university setting. They suggested that some of their colleagues were aware of the difficulties encountered in the group and felt that this knowledge may shed a negative light on their ability to work within a collaborative setting. One of these individuals noted that (s)he had to get his/her side of the story out and another suggested that her/his group started out well but over time became less productive due to a lack of leadership:

> I had to do some damage control with my associates…I need to make sure they know my side of the story so I can't remain silent…I am now disengaged and I am worried about my leaving and my reputation with SSHRC.
>
> to stop talking and to do it.
>
> The majority of comments were similar to the ones noted as follows:
>
> We have presented our work to the university but…lately it seems to be less interesting because there are no results. This is not good for our reputation. We need
>
> I think the research was well done and the results were disseminated in a reasonable amount of time.
>
> Quality and timeliness of results was well done and leadership made it effective as well as the dissemination.

Conclusion

This chapter laid out the responses to the questions in preparation for a more in-depth analysis that will be discussed in the final chapter. It was a display of the findings with selected quotes and a discussion related to possible meanings of the results in relation to the research question and in regards to the literature.

This chapter also served to once again remind me of the content of the interviews, forced me to review my coding and categorization, and to begin making connections, forming ideas, and starting to create a picture in my mind of the significance of the results. I also outlined the ethical, time, and quality implications associated with my decision to complete my own transcriptions and the trials and tribulations I encountered as a result of my foray into the world of qualitative software and data management. These issues were related to my concern about making sure that the data management was ethical and correct and the result worthy of the time the participants had given.

This chapter provided the reader with information regarding my biases, thought processes, and rationale for decisions made along the way and served as a base upon which Chapter Five was formulated.

CHAPTER FIVE: DATA ANALYSIS AND FINDINGS

In this chapter I will be laying out a detailed discussion of the findings and, following a social constructivist, emergent theoretical perspective, I will develop ideas and representations that I think best describe the summarized information. I will highlight interesting findings based on the report of results noted in the previous chapter, the literature I consulted prior to, during, and after data collection, and my ontological and epistemological perspective.

In preparation for the development of this chapter, I decided to undertake the following (a) disguise the gender of all respondents (as has been done in previous chapters); (b) group autocratic and laissez-faire leadership together at the beginning of the chapter as they were the least often mentioned, are placed at opposite ends of the leadership continuum, and have similar disadvantages, and few advantages, as noted by the respondents in regards to their perceptions of the efficacy of these styles; (c) discuss benevolent dictator separately from the other responses; and (d) base the majority of my analysis on servant/shared/democratic/ distributive/ collaborative/ consensual/ participatory (SDCP) forms of leadership.

Autocratic and Laissez-faire Style of Leadership

As I begin my analysis, I will first discuss the three outliers or anomalies that emerged from the findings. They include *autocratic,* leaderless or *laissez-faire,* and *benevolent dictator.* The former was noted as being the type of leadership that was prevalent for one individual who described the result of this style in considerable detail. Based on this individual's assessment, the lack of attention paid to this form of leadership by other respondents, and the negative results that were relayed to me due to this style of

leadership, I would surmise that this form of leadership was the least favoured in this environment and the least appropriate.

This finding is supported by the literature in regards to highly educated people, or experts, and the style of leadership they prefer. Rooke and Torbert (2005), for example suggest that:

> Experts try to exercise control by perfecting their knowledge, both in their professional and personal lives. Exercising watertight thinking is extremely important to experts...Secure in their expertise, they present hard data and logic in their efforts to gain consensus and buy-in (Rooke & Torbert, 2003, p. 2).

Academics do not work well in autocratic environments where their autonomy is questioned, they are not appreciated for their expertise and/or they are not allowed to exercise the freedom that they value so highly. After a period of time they lose interest in maintaining their place in a group where they are not respected. They may become stressed with the realization that they are committing resources (e.g., time and expertise) with minimal return for their input.

This sort of stress appears similar to the variety referred to by Hobfoll (1989) in his articles related to his *Conservation of Resources Theory*. He suggests that stress may occur when resources, such as time and expertise, are depleted or there is a fear of them being depleted. This theory appears to be supported by the data I collected from my interviews as the majority of the respondents suggested that use of their time was extremely important. This information is summarized in Table 17 where the term is described in column one, the values in academia summarized in column two, and a sample of R#1's description of, and comments on, autocratic leadership in the third.

Table 17

Autocratic Leadership and Academia

Description of autocratic leadership	**Academic Values**	**Description of autocratic leadership style as noted by one respondent**
Autocratic leadership is based on the notion that the decision maker maintains as much power as possible, does not consult regularly or in a meaningful way with the other constituents, and often involves a structured set of punishments or rewards. Employees can become resentful and may quit or become sick. There is a lack of trust and dependency upon the autocratic leader. This style of leadership is cited as a factor in academic bullying.	Democratic, academic freedom, intellectual integrity in teaching, learning, and research. Respect for expertise, knowledge, freedom of speech and the conduct of research and creation of critical dialogue. Motivated by ability to pursue new knowledge, to maintain autonomy and status in their field of study and their career position.	"I never had a leadership role that was comfortable for me. I was always dependent upon the PI…the way it worked basically the PI had a strong personality and I always sent the PI stuff for reviewing". "…the money details and signing privileges are only with the PI and so even if you are not a scholar who is not autocratic those conditions could allow you to be more controlling…" "…because someone is labeled as the PI on the grant structurally, the communication between SSHRC and the team is through that one person and you are dependent upon this person's forthrightness to pass on the information to all the team members…I am now suddenly beholden to this PI when I want something…That is very demeaning when you are talking about this wonderful interdependence of success, membership, and expansion of knowledge. It is like groveling". "We did not set out roles and responsibilities and I am not saying you need to have a manual but you need a dialogue and understandings. We had no idea of communication methods and decision making". "…the disadvantages totally outweigh the advantages". "The leadership was very intense and critical. It has a very direct role on the success of the research project and I think from what you are coming at and SSHRC's commentary, in order to have mutual learning within a collaborative group, whomever is going to be the designated leader of the group this person should have more of a mentor role…" "I would say it led to its failure. It created a culture very closed, controlling, and blaming".

The one respondent (R#1) who talked about autocratic leadership, made a decision to withdraw from the group as a result of the lack of return R#1 received from the time invested:

> I had no other options…I did ultimately decide that the value of being in the research group was minimal and the disadvantages and the difficulties and the problems of being in the group were huge so I finally was led to exiting the project.

Prior to exiting the project, R#1 outlined some of the activities that led to the creation of an environment whereby (s)he felt devalued. Examples to support this feeling included having to grovel to the PI for money, not meeting regularly to sort out problems, and a perceived lack of value placed on the methodology R#1 preferred to use (in contrast to the type valued by the PI). Ultimately, (s)he made a decision to exit the group as too much time was being expended on group development of personality issues, for minimal return.

> I never got a product from this project... It is very important for me to have publications, chapters, proceedings…I need this intellectual capital for P and T [promotion and tenure] so fundamentally I could put up with all the headaches if I knew that my name would be on the things and that I got something in the end.

R#1 also suggested that this negative environment might have been created due to the fact that the team was comprised of individuals who were all at the same career stage and this makeup of the group might not have been optimal.

> I found that being at the same career stage perhaps we were competitive and wanted to run the show. I am an academic who is at the same stage as the PI.

R#1 supported this assertion by referring to an example of a successful collaborative group within which (s)he had been involved previously:

> So, in the case of the successful group, there was one senior scholar and two less senior scholars and I think we had a good blend of stages as I mentioned before so my first experience was very positive so I was keen to enter into another one…We just had a dynamic, good open dialogue and we were candid enough to clarify our strengths and weaknesses.

In addition to developing a stressful work environment for the respondent, autocratic leadership also seemed to create a situation whereby a bully mentality began to emerge as well between colleagues, not between a subordinate and a superior as is often the norm. Based on the descriptions provided by R#1, it would appear that the kind of bullying sometimes found in academia (e.g., Helge, Glaso, Hetland, Cooper, & Einarson, 2007) might have occurred in this instance.

Helge et al., (2007) in their study published in the *European Journal of Work and Organizational Psychology,* suggest that "bullying is a relatively widespread phenomenon [where]...highly educated employees in managerial or expert positions are subjected to such behaviour...[and] it should also be noted that almost one-sixth of the victims [are] bullied by subordinates only" (pp. 439-440).

R#1 noted that although they were colleagues, and, therefore, subordinates who were at a similar level in terms of their careers, the PI took on a role as overseer and gatekeeper. This situation created an environment that, in R#1's opinion, created a less than collegial work setting, a power imbalance, and a situation whereby there was little respect for each other and no trust:

> There never was a trust but there was, initially, an assumption of trust and professionalism that was just not carried through.

This gate keeping role and lack of respect for the quality of work being done by R#1 further supports the type of academic bullying noted by Helge et al., (2007). The bully ignores opinions and skills of the bullied and delegates work that is far beneath the skill set and intellect of the receiver. R#1 noted that:

> I knew more than [the PI] but I often would send [the PI] stuff and [the PI] would critique what I did but would not send me stuff so it was very one sided. One sided…

Autocracy and laissez-faire styles of leadership can both create an environment whereby one group or individual is at risk of being bullied, so both styles share this kind of common trait, as noted in Table 18. The 2 respondents, who talked about their laissez- faire experiences, seemed in agreement with R#1 in relation to a lack of trust and respect among members in an autocratic situation. In the laissez-fair example, however, the two respondents noted that when there was no clear leader the group began to fall apart, power politics took over, and some individuals within the group felt powerless as stronger members filled the void and took over the leadership role.

Laissez-faire, like autocratic leadership, creates a climate of mistrust, undermines the work being done by the group in the absence of direction and feedback, and leads to inefficiencies, low group morale, and disinterest. Some of these characteristics were alluded to by the individuals who talked about leaderless groups as noted in Table 18 and the corresponding comments:

Table 18

Laissez-faire Leadership and Academia

Description of laissez-faire leadership	**Academic Values**	**Description of laissez-faire leadership style as noted by two respondents**
Laissez-faire leadership is one whereby little or no direction is given by the leader. Authority is given to the team members to formulate goals, problem solve, and take action. Possible factor in academic bullying. Laissez-faire leadership can make employees unsure of their roles, unsure of how they are doing, and can create a situation whereby stronger colleagues take over the leadership role.	Democratic, academic freedom, intellectual integrity in teaching, learning, and research. Respect for expertise, knowledge freedom of speech and the conduct of research and creation of critical dialogue. Motivated by ability to pursue new knowledge and to maintain autonomy and status in their field of study and their career position.	"The group falls apart and is not cohesive. Members wander off and work does not get done. The trust that is inherent in the democratic leadership style is not always respected and then the group becomes leaderless... Perhaps it was because of that person's personality…not a strong administrator, did not meet deadlines, could not keep track of a budget and was not there. So I began to take over this role but was not comfortable as I was not sure when to step in…This person's research leadership was not strong either even though ideas were innovative this person did not have the maturity to take on this role…" "I felt a lack of trust that there would be any follow through on tasks. There was no real leadership and this did not help the collaboration…In order to make this collaborative group work, it is more than just trust but also all members making sure to do the work they are given". "Hidden power politics does tend to happen when there are divisions of tasks and different leaders put in charge. But if the group grows too fast, all of a sudden unexpected things pop up. So the initial democratic leadership style was sabotaged, or ignored…" "When you get young academics trying to make careers out of a project, you can expect lots of agendas. Sometimes these people are not listening… It was interesting because at the beginning it was all inclusive then things changed…Some of the team members tried to stomp on the PI who was trying to be democratic, but the trust was not well placed…" "As time went on it became muddier and muddier as we went along and careers and agendas were allowed to run amuck…Things just seemed to trail off… Things became wonky…"

> There was no real leadership and this did not help the collaboration…I may be putting this collaboration on ice as a result of the lack of leadership.
>
> At the beginning it was all inclusive then things changed…too many styles emerged. Expectations were not clear…the emerging leaders were not cooperative or inclusive… It became very muddy as we continued on.
>
> Lots of tears, mental beating up…The way they were handling each other was unprofessional and nasty and relatively abusive…things became unprofessional and after that I did not engage in the project any more... It was not a good experience.

This kind of stress alluded to by these two individuals appears to be similar to what R#1 described, and the outcome was similar as well as all 3 mentioned disengaging from their groups. This result is not conducive to a successful SSHRC funded collaborative project as valuable time is wasted, results are not realized as originally intended, time is expended on non-research related tasks, and the bitterness can remain long after the funding runs out.

Autocratic and Laissez-faire Leadership Styles: Not Appropriate for Academia

After reviewing the data collected from the 3 respondents, and the related literature, it seems that these two types of leadership are counter-productive and can negatively affect the efficiency of a SSHRC funded collaborative project. It would appear that both forms of leadership can lead to a failed project as they are not compatible with the values that are highly regarded in an academic environment. The characteristics of both types of leadership, as suggested by the respondents, are depicted in Figure 1. They include a lack of trust, undervalued skill sets, time invested not yielding positive results, the emergence of

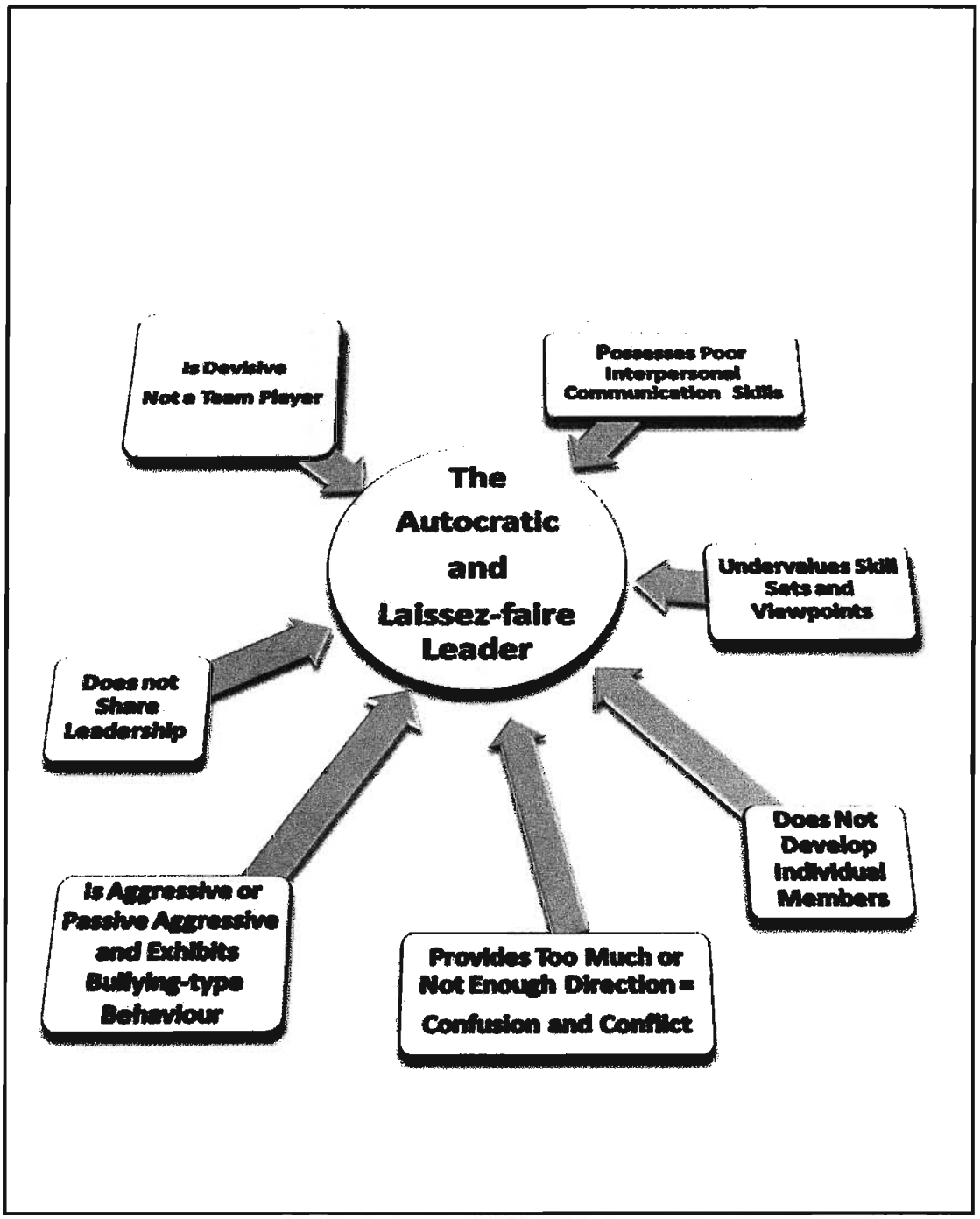

Figure 1. Characteristics of autocratic and laissez-faire leadership styles that negatively impact SSHRC funded research collaborations

bullying behavior, poor interpersonal communication, conflict, low morale, and the lack of a cohesive, collegial, and collaborative team atmosphere.

The relatively diffuse structure that is valued highly in academia, does not lend itself to an autocratic leadership model, as the authority is one-sided, hierarchical, and not conducive to sharing of ideas and expertise. And the converse is true as well; too much diffusion of leadership such as that found in a laissez-faire leadership style can "create a negative social environment" (O'Moore & Lynch, 2007, p. 96) that sets the stage for a type of bullying that is based on "low satisfaction with leadership" (p. 96), a "lack of control over work tasks, role conflict, and deficiencies in work design" (p.101).

Bullying in the work place is not always top-down (e.g., Skodstad, Einarsen, Torsheim, Aasland, & Hetland, 2007; O'Moore & Lynch, 2007), and specifically, in an academic environment, it often occurs between colleagues. This situation may develop as a result of excessive or minimal leadership as suggested by these 3 respondents in regards to type of autocratic and laissez-faire leadership they experienced and described.

They talked about the difficulties they had with the designated leader on the grant who assumed these leadership styles, and the negative impact that resulted in regards to the work environment for other team members as well. R#1 mentioned that the environment was competitive and the PI was not co-operative and these characteristics are part of a poor work environment (O'Moore & Lynch, 2007) that is conducive to bullying.

All 3 respondents indicated that there was a lack of support by other team members to resolve the issue and at least one person talked about the lack of institutional support in particular:

> There is no support, no 'how to'. There is no position from Research Services on what needs to be done when entering a team from the get-go… I would not let SSHRC know as it is like airing dirty laundry. But it is not clear. What does it mean when you leave a project?
>
> I need advice on exiting a research team and how to manage that exit. I am also mired in this intellectual property issue. There is nowhere for me to go. I have two choices I can pay a lawyer to craft some kind of position statement for me to outline the IP issues or maybe contact a friend who is a law scholar who might help me. There does not seem to be anyone at Brock who can assist. There are no policies at this institution.

The comments noted above, support the literature in regards to autocratic and laissez-faire leadership and a nonsupportive work environment as being catalysts for a poor functioning group (e.g., Einarsen, Raknes, & Mathiesen, 1994; O'Moore & Lynch, 2007), and a work situation that is ripe for bullying. Einarsen et al., (2007) in their research, noted specifically that there was an association between a high prevalence of bullying and laissez-faire leadership, confirming that the type of leadership practiced is central to understanding and combating bullying.

It would appear from the aforementioned research and comments made by the respondents at both ends of the leadership spectrum, that a high or low level of leadership is damaging to the health and well being of the researchers and is detrimental to producing results in a timely and efficient manner (Skodstad, Einarsen, Torsheim, Aaslord, & Hetland 2007). Thus in response to the research question, the impact of an autocratic or laissez-faire leadership style on the success of a SSHRC grant is considerable and can have a

negative impact on productivity, the efficient allocation of grant money, poor time management in regards to the time expended on group malfunctioning activities, and lost new knowledge and intellectual property.

Benevolent Dictatorship

The third type of leadership that was mentioned and not common among the majority of respondents was the benevolent leader. The individual who talked about his style did indicate that his/her preferred method of leadership was some sort of shared model but in order to make this model work benevolent dictatorship was probably the most efficient way to incorporate democratic values with task and time management goals.

R#7 made a strong case for this style of leadership and as time went on in my interviewing process, it seemed to make a great deal of sense to me as well. R#7, like several of the other respondents, indicated that there were external and internal collaborators on the team and this situation added a layer of complexity in regards to the dissemination of information, communication methods, and management of tasks.

Based on R#7's past experience on several SSHRC funded collaborative research projects, benevolent dictatorship appears to be an excellent style of leadership to meet the many goals imposed upon groups comprised of multiple partners and funders. The following lengthy, but insightful, quote outlines the reasoning behind R#7's belief that this kind of leadership is optimal on collaborative SSHRC grants:

> The type of leadership on the SSHRC grants I have been involved in I would describe as either democratic or shared. I am fortunate in that I have not had an experience with autocratic leadership. In fact I worked on a project where we had a shared PI. It was a category we created ourselves because we felt like that was the

> only way to reflect the reality of what was the actual case. Mind you the money went through one university but we made all the decisions equally among all of us... Some other projects were democratic as everyone voiced their opinion but I would say in situations where the leader actually took charge and in most cases on these kinds of grants at least in my experience, people have wanted a strong leader and a leader that would listen to them. A benevolent dictator is what I think is the type of leader that most people want because if they are not coinvestigators they do not have the real power to make decisions and want to trust the leaders to make decisions in a fair and appropriate manner. You want a benevolent dictator. This may verge on autocratic but in this situation, if you are going to be highly democratic and vote on everything it is going to take forever and a day and nothing will be accomplished...The work has to be done so the benevolent leader ensures it is done in a timely manner and the quality is there.

This quote addresses many of the issues relayed to me by most respondents who noted that autocratic or leaderless styles were not appropriate, but at the same time work had to get done and someone had to make decisions to keep the agenda moving. But this balance was not easy to obtain as noted by R#5.

> It is a bit complicated. In some sense it might have been too democratic at times as no one seemed to be in charge… and in some other instances, according to your definition at least, not collaborative enough.

R#7, who supported benevolent dictatorship (BD), suggested that the kind of problem that R#5 alluded to, could be minimized using this BD approach.

> My experience regarding leadership is that it moves from consensus to a dictatorial model so that is why I my referring to those two…I am sure you have been told by some people that sometimes there are dictators on grants. In my situation it has not been that way but it is often too democratic...[That] is great and we all feel good about it but we spend hours on things that should only take five minutes. So, my experience has been that I get frustrated often with this democratizing stuff. I don't care about some of the issues. I just want the leader to decide and let me know what I am supposed to do and then get along with my job. Finding the balance is the trick. For the leader, trying to decide what he or she is supposed to do and what is to be farmed out….The advantages of democratic leadership are that you feel part of it but the disadvantages are that you sometimes do not want to take part in it.

Benevolent dictatorship, according to R#7, is the best way to make sure that work gets done and time is used wisely, while at the same time respecting the skills that each team member brings to the group.

> So, the perfect leadership model I think is benevolent dictatorship where everyone can do his or her part and that part is seen as an essential component to build a whole so that your research outcomes require all those pieces but that they filling almost like puzzle pieces. You are not like a science model where you build on top of each other but rather are like a puzzle where your entire piece looks better because you have pieces that fit…It would be a situation whereby you would have a clearly articulated vision from your PI. It would have opportunities for your collaborators and coinvestigators to fit into that vision and it would then allow for when you get

> the money and they get their pieces and they report back to this larger vision and create the research output as a result of that.

R#7 also alluded to the responsibility that team members have in regards to being ethical, and accountable to each other, SSHRC, project participants, the university and their disciplines:

> I think the benevolent dictatorship has worked because at the end of the day the PI is responsible for the output of the project… Let me talk about a failure. I worked on a project in which money was divided among the coinvestigators who for a variety of reasons were not able to spend the money fast enough or were not able to get their act together or hire people, or did a bad job of hiring. So their research output was not ever realized so the benevolent dictator took over and tried to push towards the success because he knew that his neck was on the line but it was too late and did not work out well in the end….For example, we would get updates from the team members and their responses were always in the realm of the positive so it was not until we hit D-Day that we realized that there was not anything there. So, in these group projects unless you are working beside someone and you can check on what they are actually delivering, it is hard to really know. Perhaps there should have been a schedule of deliverables so that we all could see that they had not achieved ABCD tasks, but if you do that then you treat them like little kids… you cannot do that with your fellow academics. They resent that. This was a case where there was trust and the trust proved to be injurious in the end. Maybe had there been a benevolent leader at the beginning then things might have worked out well.

Of all the responses I received from my research, I think that this discussion of benevolent dictatorship was the one that I had thought about the least before I took on this research, but ultimately found the most intriguing. I will discuss benevolent dictatorship later on in this chapter in relation to the other forms of leadership that respondents found to be the most appropriate.

Leadership and the Nonacademic on a Research Grant

Although it was not my original intention to delve into this aspect of leadership (e.g., leadership and community-university collaborations) it did seem appropriate to take a cursory look at some of the issues that might arise as a result of these collaborative endeavours. Given the increasing number of community-university projects that have developed over the years, it is difficult to ignore them and the associated rewards and challenges that emerge from these complex ventures. In addition, as I interviewed 2 individuals who were community members on a SSHRC funded project, I realized they added a dimension that was interesting, insightful, and worthy of further study later on in my scholarly career.

These individuals included one coinvestigator and one collaborator so the roles and resulting input were somewhat different but they had commonalities in their responses as well. Their contribution is significant to studies of this kind as SOU and others across the country become increasingly engaged with local, regional, national, and international community members. The addition of practitioners makes these projects more complex due to their differing viewpoints, time constraints, rewards, understanding of research, and levels of engagement. This complexity and inclusion of nonacademics, however, has the potential to produce results that may be more representative of the larger population. This

belief was noted by 2 of the noncommunity respondents who felt that diversity within their groups, although challenging, was preferable to working within a collaborative group comprised of only like-minded individuals.

This diversity is in keeping with SSHRC's vision of producing research that is useful to a wider population thus the involvement of practitioners is seen in a positive light. In addition, a considerable amount of research is based in the community so academics are beholding to their non academic partners for their research participants. These community partners have varying levels of expertise, interest, capabilities, and support from their employers, which differs from their academic counterparts who are expected to have the expertise and time to conduct research as it is part of their overall workload. Working within a collaborative group that includes individuals from two different environments can be challenging as was expressed by the two community respondents:

> I think the researchers wanted to have a collaborative or democratic style of leadership but as a community member I was not heavily invested so the researchers had to make decisions on their own without my input. They tried to get me to take a leadership role but since this project was not integral to my ongoing work I did not want to get overly involved…I know that the researchers felt we did not help them much and they had to take the bull by the horns and do the work themselves, but that is their job that they get paid for and I do not get paid to do this work.
>
> We did not have agency personnel who had the power to make decisions. They were excited and wanted to be there but they did not have the power to create the time to make decisions and follow through with tasks...The agencies are not

> rewarded for being innovative and spending time on research and change based on this research. They are being asked, "How many people did you serve"? Rather than, "Are you being innovative and keeping up with the latest research and trying to be more effective?" The funders are interested in numbers and not about outcomes. The first thing that gets cut is training and research in tough times so that is my biggest source of frustration.

These individuals also talked about the rewards associated with engaging in this type of project including getting to know what kind of research is being undertaken in academic and applied settings that might help a specific agency deliver a better service. In addition, it created opportunities for them to get to know academics and engage in a positive learning environment as noted by one of the community respondents:

> So, for me that is sort of an optimal learning environment that I think will translate into all sorts of things... I would do my best to use the findings on my job… I was so excited about the project and could see the potential but gained nothing from it professionally. But I love research and community based research and development. Community people are very conscientious as the work in social services and I would think they would feel compelled to do something with the information.

When asked about the advantages and disadvantages related to the type of leadership on the grant, one of the community people noted that the leadership was collaborative, but sometimes was less so based on the project being run out of the university and the constraints placed on it due to this affiliation. Specifically, this respondent noted that:

> I can remember meeting with senior administration when we got the grant. They did not acknowledge me at all because I was not an academic. I was a community person who they wouldn't even acknowledge and if I started to say something they would cut me off. Totally disrespectful…and the university would not have gotten this grant had I not been involved.

Both community people felt that a shared style of leadership was optimal and would produce a more cohesive group, but both also noted that due to time constraints, maintaining a truly democratic form of leadership was not always practical. One of the respondents suggested that the leadership became autocratic at times as the academics took over in order to move the agenda along. This was seen in a negative light, but community person R#12 also acknowledged that this research project was more important to the researchers than to community members, so they had to move the agenda along. This leadership style, however well-meaning, may have contributed to group members losing interest in the project.

> I was initially interested in this project and respected the academics, but as time went on I became less engaged. The researchers took over the leadership and I felt lost and unappreciated. Eventually I left the project as did others but I am not sure it was entirely due to the style of leadership but due to our different levels of interest in the project in terms of its impact on our daily working lives. I know that the academics were also frustrated with me and other members of the team as well.

R#12 noted that working in the community during times of restraint means that research opportunities within community agencies are almost nonexistent therefore leadership within the community organization may have more of an impact on the success

or nonsuccess of a community-university based collaborative project than the leadership on the project itself.

> It is a struggle getting to the group meetings with my hectic life at work and even more so trying to explain to my superiors what is happening on this project and why I should continue to be involved. During these tough times we need to look very closely at how we use our time and sometimes these slow moving research projects are not seen as a good use of that time. So, in regards to the leadership being instrumental in the success or failure of a SSHRC grant, I might say that you need to go beyond the group itself and look at the outside influences.

R#6 supported this observation as well:

> The first thing that gets cut is training and research in tough times so that is my biggest source of frustration…missed opportunities to conduct research that will ultimately help me in my job.

The sentiments, expressed by these 2 individuals is supported in the literature in regards to the importance of collaborating with organizations outside the university, but also the leadership challenges and pleasures inherent in trying to marry two very different environments in addition to a collaborative group that also has its own vision, values, and rewards (e.g., Cottrell & Parpart, 2006). Figure 2 depicts in circular form the interaction that takes place in collaborative projects.

Each circle represents an organization that is taking part in formulating a collaborative group; the funding agency, the community collaborator, and the university. At one point all converge as depicted by the circle in the middle. This is the space where

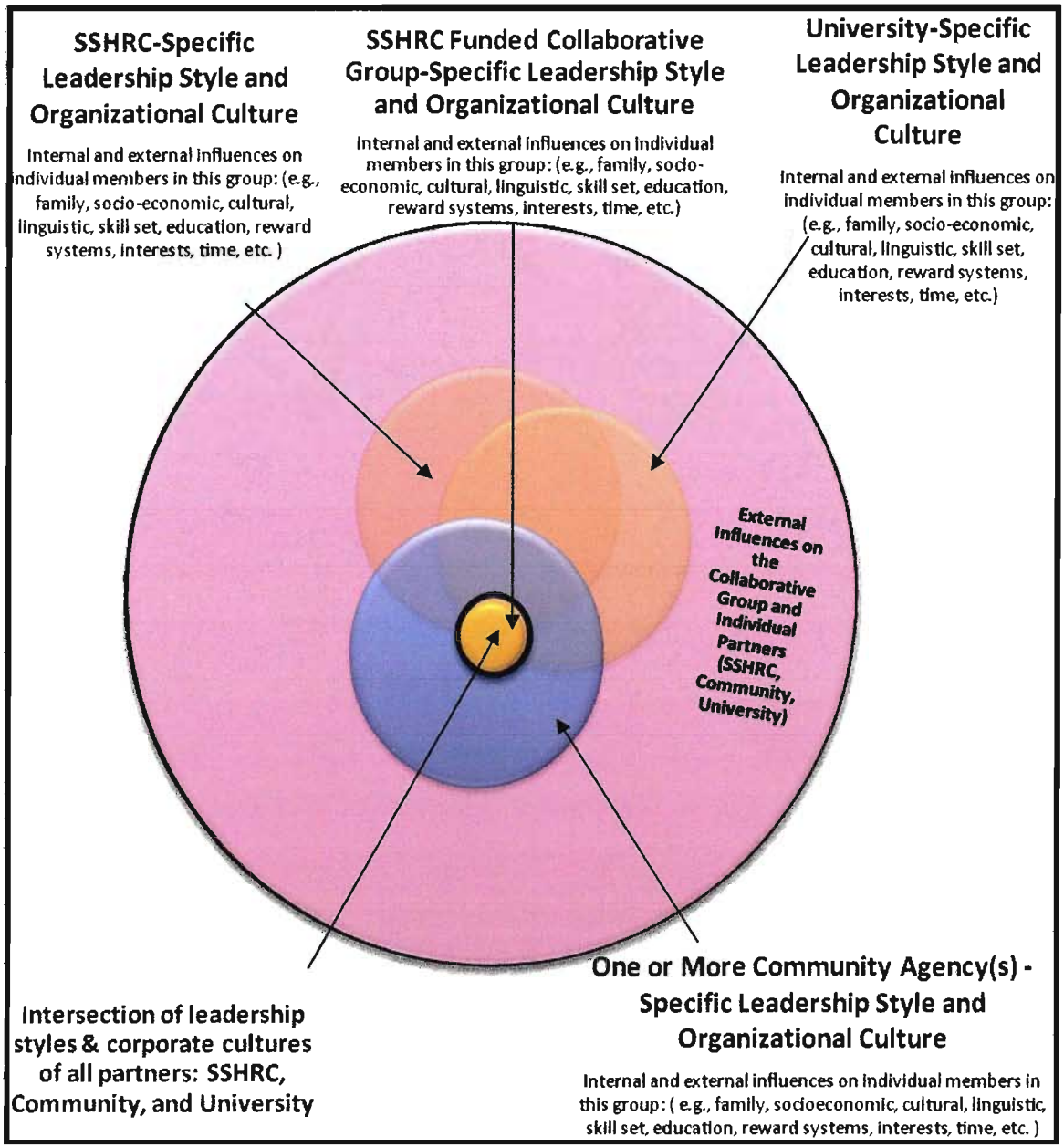

Figure 2. Leadership influences on collaborative SSHRC funded university-community based research projects.

the players develop an ongoing sharing of ideas, decision-making processes, policies, and group dynamics.

This ongoing process of creating and maintaining a multilayered community-university based collaborative group is complicated especially when one takes into consideration numerous individuals with their own values, ethics, morals, and viewpoints. They have their own epistemologies and are also expected to represent their organizations therefore they must interpret that corporate culture to determine how it will intersect with the culture being created by a new collaborative group, and the other partners including the sponsoring agency and the university. Each one of these groups has to go through Bradford & Cohen's (1998) stages, and although many of the players have already undergone this transformation within their respective agencies, this process is never over, and the new collaborative will take additional time and energy; two things that are often mentioned as being in short supply.

The Impact of Leadership on SSHRC Funded University-Community Collaborative Projects

Based on the interviews that I undertook and the literature related to this topic, it would appear that leadership on these projects has a major impact on their success. The challenges that the leaders encounter are considerable, but so are the rewards. By combining three or more groups (e.g., the SSHRC project team itself, the university, and the community based organization), the results are more likely to be reflective of reality, as alluded to by one of my respondents, but the challenges are also greater as noted earlier on in this dissertation.

Figure 2 depicts the influences that impact on a newly emerging group in regards to the external environment and agency and individual values and cultures. How the new group is able to maintain itself, address the push and pull of external and internal forces and maintain a viable enterprise, is significantly impacted by the leadership and how it intersects with the collaborative team members. In turn, these collaborators are influenced by the rules mandated by the funder, the university's policies and procedures as the overseer of the grant, and the community agencies to which they report.

In response to the research question, the impact of leadership on SSHRC funded collaborative projects, specifically, as it relates to university-community collaborations, is significant. Leadership can be the catalyst for success or failure of a research project.

Servant/Shared/Democratic/ Distributive/Collaborative/Consensual/Participatory Leadership (SDCP)

This final section regarding the analysis of the results, relates to the responses that were in the majority (e.g., Table 7). Most respondents were in favour of a servant/shared/democratic/distributive/collaborative/consensual/participatory type of leadership model, or SDCP. Based on the values espoused in academia, this response was anticipated, but what I did not anticipate was the diversity in views within this type of leadership model. How SDCP leadership was described by the respondents was specific to their own experiences. Each one had a different view regarding what constituted appropriate leadership within the SDCP model. This result supports the literature related to context and the important role it plays in regards to the implementation of a specific style of leadership (e.g., Arrow et al., 2000; Bradford & Cohen, 1998; Yukl & Lepsinger, 2004).

Context also plays a role in how researchers determine what constitutes an appropriate timeline for completion of work while juggling democratic leadership principles and other constraints imposed on the group. Several people mentioned the importance of appointing a project manager (PM) who may or may not be the designated group leader, and who had the blessing of the group to be the designated *mover*. In addition, 3 individuals noted that leadership might be multifaceted with one leader who oversees the development of the group, another who assumes the lead on the research, and a third who oversees the *administrivia* that is integral to ensuring that all the regulatory requirements are being met.

For example, one respondent noted that a collaborative form of leadership was optimal, but there also needed to be a delegated person who would assume a PM role.

> One person takes hold of the day to day activities and ensures the work gets done…I think that the admin person is one who takes the reins and makes sure the daily things are done and ensures staffing, recruitment, and all those things are done such as REB issues etc.

This same individual noted, however, that if the PI assumed this PM role and an intellectual leadership role as well, that the time expended on the former takes away from the latter and does not produce the kinds of rewards that academics desire. Thus being the PI, leader, and project manager all at once might not be optimal. Assuming a managerial and leadership role could also be detrimental to an academic's career as suggested below.

> I think it probably hampers my productivity because my time is sucked up in administration and day to day processes. So for the leaders it is more of a burden.

> Once you become a researcher it is automatically assumed that you are an accountant, manager of people, expert at research, human resources, teaching, and all these other roles that you did not have training for and you are assumed to be competent...I can't even balance my cheque book at home and I am expected to oversee a one hundred thousand dollar account. That takes time that is better served in activities that I am trained to do.

Most respondents also suggested that it is challenging at times to coordinate the activities. The shared or collaborative model is based on trust that everyone will do what is required but that does not always work out. There are challenges in this leadership approach as well.

> Because they are academics you cannot reprimand them or chastise them at all. You can do that with a research assistant or a project manager but you have no authority with your colleagues to make sure things are done right. You hope that you do not have to supervise your colleagues; actually you assume you do not have to supervise your colleagues. You expect them to do work correctly and know what they are doing.

Several respondents also noted that employing a SDCP leadership model could lead to difficulties with getting the work done.

> Leadership is coordinating, engaging and inviting people in as opposed to being more of a manager and delegator especially at this level. We delegate tasks to research assistants. It is their job. You cannot really do that with academics. You can try but you have to engage them in intellectual activities then there is this willingness to do the things that are needed to get done.

> I think the emphasis on democratic leadership sometimes has to give way to autocratic leadership when things have to be done. For the sake of efficiency it needs to be done. The parenting metaphor is used here as well; be able to assert power when necessary to keep things moving.

One specific example highlighted some major issues with SDCP leadership with its high value placed on trust and integrity. Sometimes these values were not shared by others.

> For example, we were going to take on a project…and we needed to train people…so there was a particular faculty member who needed to invest 3 hours in training to make sure that the research assistants did what they needed to do. Instead, X delegated it to X's graduate student who trained the research assistants and it was not done properly. So we put all the respondents through this process and the results are useless… It was a waste time of money and time and it is an ethical issue. You put respondents through this and the data are not good, when all it would take was a 3-hour investment by the faculty member. But this person was too busy and that has a huge impact in the project. Some are more selfish than others and their time is more important than others and you get that response all the time.

The challenge most often cited as being associated with the SDCP model was related to time. For example, the following quotes refer to time being needed in order to develop the group; time that some felt was not always valued by the team members, the university or SSHRC in regards to providing support or recognition.

> Any time you do collaborative work you need to ensure social processing (five elements of a collaborative model). You can't just throw several people together and

assume they work well together. You have to take the time to ensure that differences are not impeding a functioning dialogue. You need to make sure that someone is not usurping all the resources…it takes, time, interest, and money.

I also think that this leadership piece is really interesting because it is probably the thing that people think about the least and takes the most time. It is like…how do I get the money? How am I supposed to work effectively as a team? What are we looking for in a research fellow? What kind of conversation should I have at the beginning of my project? ...Should I hire a research assistant? Should I use the stipends, or would it better to hire a research fellow? Are these CUPE postings or not CUPE postings? How many hours should I have the research assistant work? I had no clue what to do and did not know who to contact for help. These tasks take so much time.

I actually was disappointed especially with my first grant. I was not the PI …and I was not acknowledged at all by the Office of Research Services. I am not alone in this complaint…I was ticked. We were not included like one who was the PI. I think ORS needs to better deal with us. We put in as much time as the PI on the project and so much time is spent on administrative issues that are not valued or rewarded. There should be money set aside for project management as academics are not known for their management skills…the academics are the people who conceptualize the work…I don't want to stereotype and I could be wrong but…it is important to have a qualified person doing this task…This person is given the authority by the group to make final decisions and people understand that there should not be any hurt feelings. These are the kind of social processing decisions that you have to make

> in order for work to be done in and for a collaborative group to work well. There was not enough money for a skilled person to be hired for this position…students cannot assume this role.

Leadership and time were also discussed in the context of the group changing over time and how the leadership adjusted to these changes.

> Things change over time as we do our research and the group changes…We need to pay attention to all the perspectives that are represented on the project… and as research needs evolve that becomes difficult to sustain…When people engage in a dialogue across differences inevitably there will be a difference in expectations and you need to decide what to do about this as the project progresses over time.

Time was also used in the context of undertaking research particularly in the community where timelines, desired by the researchers, do not necessarily conform to those of the community partners or participants. The SSHRC collaborative group's leadership has to be flexible enough to value time in relation to what is meaningful to all partners as suggested by R#8 below.

> Our timelines are determined by community feasts…and we presented our proposal to the community during the feast and we have promised to get back to them by their next feast. So that is how we determine our timelines. It has nothing to do with journals, or money or anything like that.

In addition to time, another issue was mentioned often in relation to the leader's ability to know when dialogue ends and action starts. There was no consensus on how a leader would make this determination, however, as responses ranged from leaders being too democratic to being too autocratic. The perfect balance seemed to be elusive as noted

by R#4, who strongly encouraged a shared leadership approach, but who also wanted the work to be done quickly. R#4 respected the PI on the current SSHRC grant (s)he is taking part in, but felt the administration was not optimal.

> The PI is a fabulous academic and incredibly intelligent and well known she is just not good at administrative stuff but it really is because of her that I have been successful. She has played an incredible role in my success and the success in getting grants. I think she gets overwhelmed at times… I will soon be assuming the role of PI with the same person who was PI on the SSHRC where I was the coinvestigator, so I am not sure quite how that is going to go but I will be in charge. I will do meetings differently and I am sure the style will be different as I will want an agenda and will expect to move through it quickly and stay with the issues. I will expect my collaborators to figure out things before the meetings instead of getting to the meetings and dealing with issues that do not require all of us being there. For example, if there is a budget problem and it can be sorted out ahead of time that should be done.

R#4 went on to say that:

> Perfect leadership style equals being task oriented, organized, and on top of things money wise, data collection, and knowing what is going on. For example, I would have appreciated it if the PI had delegated more and I could have been the budget person or she could have delegated those organizational things to those of us who have those skills. It is fine to recognize those skills along the way but is better to use those skills all the way through the project. That would have been better.

This same individual mentioned to me that valuable time was wasted on activities that did not seem to yield positive results, yet R#4 was indebted to the PI for much of the success that (s)he enjoyed; so, R#4 was willing to overlook much of the deficiencies that were noted in regards to the PI's inability to lead and manage the project.

R#4 shared the same sentiments as mentioned by R#10, R#11, and R#1, in regards to knowing the people with whom you are going to collaborate and appreciating their skills and the time they are prepared to commit to the project. Having this information ahead of time is very important when creating a collaborative team.

> The people I work with have the same drive or motivation. I knew this when I got involved with these people so this is important. I know their work ethic and what they are willing to contribute. I had worked with these people before.
>
> I knew [my coinvestigator] well before hand and I think this is a big part of it. There is so much mutual trust and respect for each other's time and process.
>
> One thing is the PI's style and their approach. I did not realize this was the colleagues' style. Upon reflection when it comes to the leadership style of the PI you might probably look into talking off the record with colleagues who had worked with this person prior to becoming involved, just to get a sense of how things had worked out.

Conclusion

Based on the literature completed in preparation for this dissertation and the interviews undertaken, it would appear that leadership does have a significant impact on the success of SSHRC funded collaborative research projects. Defining the best form of leadership is not easy, however, as has been demonstrated by the variety of opinions

provided by the respondents. There does appear to be consensus on a preferred leadership style but it falls somewhere in the middle of the continuum between autocratic and laissez-faire.

CHAPTER SIX: CONCLUSION AND IMPLICATIONS

Figure 3 depicts a leadership continuum, as chronicled in the leadership literature and alluded to in the previous two chapters. Four of the 5 types noted were mentioned by the respondents in my study and the only one not described was *bureaucratic.* Although respondents did not always refer to the name of the leadership type, upon reviewing their responses, I categorized their descriptions into the types noted in Figure 3 (except for bureaucratic) based on the definitions provided here.

The first style of leadership as described by R#1 is *autocratic*, or a style where the decision maker maintains as much power as possible, does not consult regularly or in a meaningful way with others, and follows a structured set of punishments or rewards. This definition is in line with what was relayed to me by R#1 in his/her description of the situation on the SSHRC grant (s)he was involved in.

The second style, *bureaucratic* leadership, was not discussed by any of the respondents as a type that they had experienced. This style is one whereby a leader closely follows rules and regulations, relies on hierarchical based organizational structures, and assumes the role of enforcer. In this scholarly and research focused environment, highly bureaucratic and structured arrangements are not valued. There are issues on SSHRC funded projects that are subsumed within a bureaucratic approach such as having to conform to ethical rules, policies regarding the allocation and spending of funds, and human resource related issues. For the most part, however, bureaucratic styles do not appear to be popular in academia, such as what one would find in a highly structured

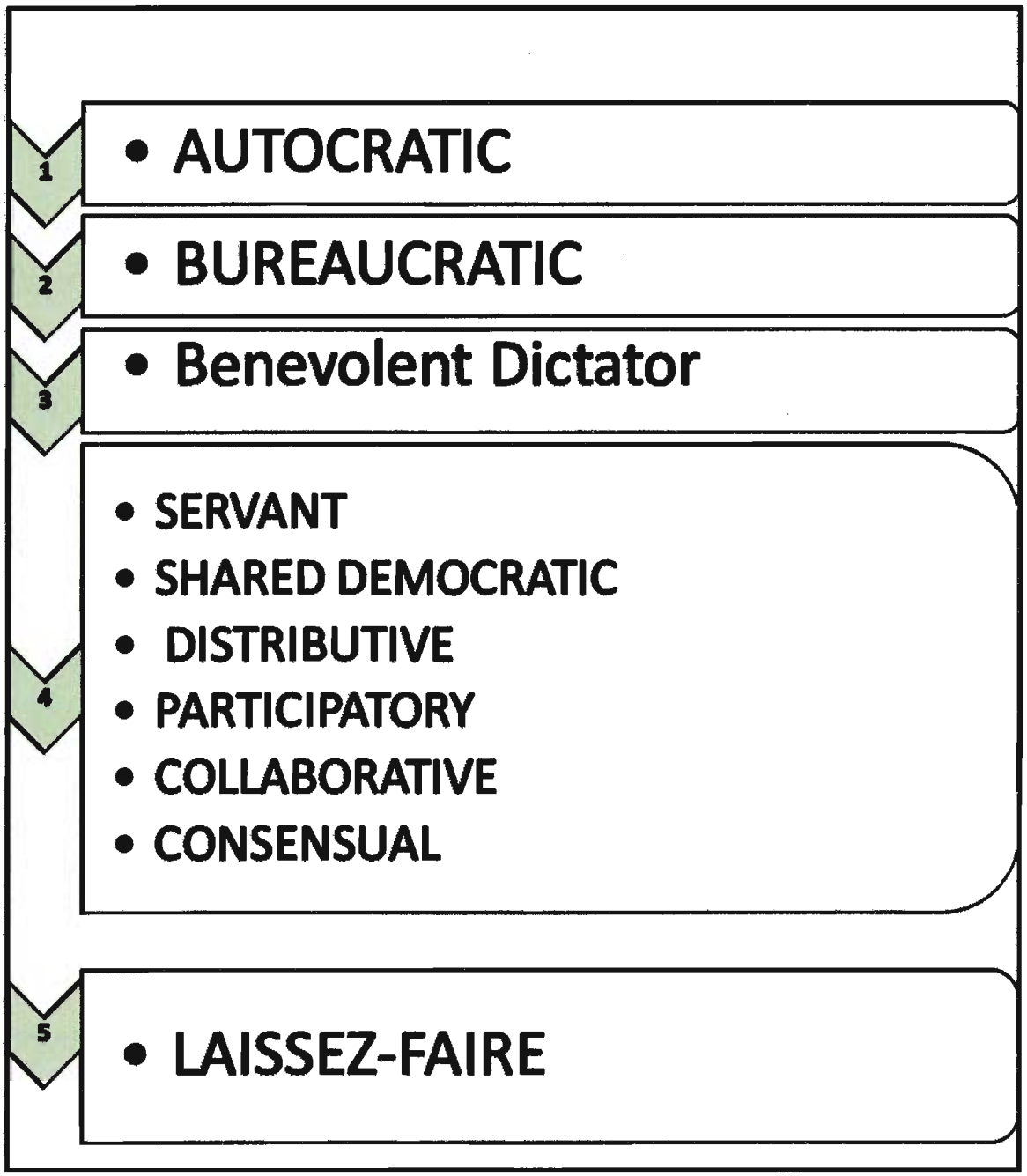

Figure 3. A continuum of leadership styles

environment like a factory, for example. Thus, it is no surprise that this kind of leadership was not mentioned.

The *benevolent dictator* is the third one listed on the continuum and marks a midpoint between autocracy and laissez-faire. This leader encourages creativity and questioning by the group members and has a high expectation of him/herself and other group members. (S)he is trusted by the group, takes action when needed, and promotes success in others (Citrin & Smith, 2003).

I found this type to be particularly appealing given the constant focus on time constraints as noted by the respondents and their desire to confer but move on in a timely manner with agreed upon tasks. It is a term I had heard before, but the term *dictator* was one that I did not think would find favour in this environment. In combination, however, with *benevolent* and as described by the one respondent at length, it seemed to be a suitable leadership style for SSHRC funded collaborative research projects.

Benevolent dictatorship is built on a group trust of the leader and the desire to be efficient in regards to time management. It espouses a need to set aside an appropriate amount of time for conferencing with others, deciding on next steps, then taking appropriate action. The trust that is bestowed on the leader allows him or her to make decisions along the way with extensive or minimal consultation, and the group is content with the leader making these decisions in the interest of time.

The next box indicated on this continuum is a mix of several shared or democratic style leadership models. As noted previously in my dissertation, I put them all together as a SDCP model of leadership. This style incorporates a variety of different approaches to leadership.

For example, *servant leadership* with its emphasis on the ethical use of power and collaborative decision making is a leadership style whereby the leader encourages others to assume positions where they can increase their own power. The goal of a servant-leader is to ensure group members are engaged and feel part of a team so that the group can develop. This individual creates opportunities for others to lead (Greenleaf, 2002).

A *shared* leadership style also incorporates some similar but additional elements. It assumes that members of a collaborative group are better able to assume responsibility for leadership than one single individual because the variety of skills, experience, and expertise found in a group cannot be developed in one single individual. Risk taking is encouraged and movement from a leadership role to one of subordinate occurs naturally and without prejudice. The term is sometimes interchanged with distributed leadership and is similar to transformational leadership in its attention to a "tangible vision, mutual influence, and a bias for action" (Wolverton et al., 2001, p. 44).

A *democratic leadership* model is structured on the premise that group members should take part in decision making as they formulate goals and create action plans to achieve those goals. The leader is a coordinator, guide, or coach and not an autonomous decision maker. It differs slightly from *distributed* leadership that espouses the installment of several leaders over the lifetime of the project, as the leader emerges based on her or his skill or expertise needed at the time. This form of leadership is emergent and arises out of a group that shares an understood common purpose and has instilled in its members a sense of mutual trust and support (Bezzina, 2006).

Collaborative leadership involves trust on the part of the leaders and the other team members "and delivering through the actions of others" (Archer & Cameron, 2009, p. 5)

and is similar to *consensual* where group members share leadership and agree jointly on decisions. Finally, *participatory* models pay attention to diversity, community, respect, and shared responsibility. They focus on individual and collective learning that ultimately leads to a meaningful outcome (Rook & Torbert, 2005). All of these styles share common elements: They expect group members to confer, agree, work in harmony, and are based on a high degree of trust unlike autocratic or laissez-faire leadership.

The latter style is one whereby the leader provides little or no direction. Authority is given to the team members to formulate goals, problem solve, and take action, which is not necessarily a problem until individual members start to fill the void left by the lack of leadership. This situation lends itself to bullying behaviour, low morale, and a lack of direction or the development of one that was not originally intended by the group as individual members take over. This description of laissez-faire leadership fits with what was described by the respondents who outlined their experiences within a group that was leaderless.

Based on the various styles of leadership and the particular ones noted by the respondents, it appears that a successful experience for researchers working collaboratively on a SSHRC funded project is partially predicated on excellent leadership and project management; two different functions that do intersect. What appears also to be significant is the important roles that trust, open communication, and a strong work ethic, play in the success of a collaborative project. Knowledge and expertise are also key elements of a cohesive collaborative group in this academic setting, but without the former, researchers' skills may be underutilized.

Trust is one of the pillars upon which a successful collaborative group is developed and maintained (e.g., Blanche, 2008; Rowley & Sherman, 2003; Schneider & McDonald, 2007) and is built as a result of setting aside time to productively communicate with members. This task, however, is not always easy to implement. Efficient and ongoing communication may not be deemed necessary by some researchers who want to get on with the business of conducting research as this task requires that considerable time and energy be expended on nondata collection or dissemination activities .

As was indicated by the respondents in my study, the time needed for communication activities varied. The individuals who talked about this issue had difficulty articulating how much time was optimal in order to ensure a smooth and efficient project was realized. There were divergent views on the topic ranging along a continuum from minimal communication being needed, to excessive, and seemed to depend on the group, its goals, and mix of people. What is clear, however, is that a highly skilled leader is needed to guide the group through a process of conferring, coming to an agreement, and taking action, keeping in mind constraints such as money, various methods of communication (e.g., if the group members are not all in one location), institutional support, and other external and internal influences.

Trust is a function of the size of the group as well; another point mentioned by the respondents, yet there was no consensus as to what that size might be. A group that is too big, small, diverse, or geographically separated is challenging in regards to maintaining communication and addressing the needs of the members related to their desire for recognition, building their careers, and other intrinsic and extrinsic rewards. The more group members there are, the more skills can be accessed and work shared, but, in turn,

there is an increased need for ongoing vigilance on the part of the group's leader or leaders to remain cognizant of the members' goals and aspirations.

Several respondents alluded to the issue of individual member's time commitments that wax and wane during the project depending upon the skills needed by the group at the time and other issues in their personal and professional lives. Again, ongoing communication is needed to determine what skills are needed when and to determine if the researcher who possesses these skills is willing to commit the time at that juncture.

It is this kind of ongoing negotiation, planning, communicating, and giving and taking that builds trust and respect among members and ultimately a cohesive and productive group. Autocratic and laissez-faire leadership styles do not fit this type of group structure or this academic milieu and therefore have no place on SSHRC funded collaborative projects.

A SDCP-type of leadership, highly valued by academics, is more appropriate as it allows academics to showcase their intellect and knowledge. What type of SDCP is optimum in this setting is illusive, however, and appears to be dependent upon the purpose, diversity and size of the group, resources available, and outside influences, such as working with partners outside of a university.

Working with community partners adds another layer of complexity to SSHRC funded collaborations as community members may not share the same reward systems, expectations, and time commitment as academics. In this instance, it is important to clearly articulate roles, responsibilities, and appropriate rewards when engaging individuals from nonuniversity settings. It is also imperative that academics do not treat community members as junior partners and understand their constraints in regards to their ability, time,

and interest. Conversely, community partners need to understand the constraints placed on academics in regards to academic rigour, the need to mentor students, and the time it takes to undertake research.

These diverse collaborative groups, often created in order to obtain funds from SSHRC, can create results that are of benefit to society, but can also get bogged down in issues related to diversity itself. It is helpful to have worked previously with potential collaborators both outside and inside the university. Prior trust has presumably been developed and personality, work ethic, and time issues understood, leaving the newly formed group to deal with issues related to the new project in particular and the unique challenges it creates.

In addition, it is helpful to absolve researchers of an over engagement in management related activities by agreeing to hire someone or designate a respected group member to assume responsibilities for these tasks in order to ensure a smooth running project. Respondents involved in my study mentioned these activities as being time wasters and deterrents to the really important work that needs to be done in order to achieve success.

Even though there appears to be no clear consensus as to what constitutes a successful SSHRC project, there is consensus regarding the important role that leadership plays in regards to ensuring a project is productive. It appears from the literature, (e.g., Bass,1990; Bensimon & Neumann, 1993; Rooke & Tolbert, 2005) and the information obtained from the 12 respondents I interviewed that good leaders are multiskilled and integral to the smooth functioning of a SSHRC funded research project.

Good leaders: (a) understand their team members, the constraints within which they operate, various reward structures, and the influences that will impact the group, both internally and externally; (b) are adaptable, respected for their skills, and practice a form of democratic or shared leadership; (c) know when to finish conferring and take action; (d) understand the expectations of individual group members and strive to meet them; (e) move work along and get work done; (f) share the role with others who have a skill that is needed at the time; (g) are able to keep the group focused on the overall goal and develop a repertoire of strategies to address challenges that arise; (h) are multiskilled in addition to being academically adept; (i) are flexible, knowledgeable, respected; (j) are good listeners and communicators; (k) are able to create groups comprised of individuals who can contribute to the vision of the collaborative group; and (l) are expert and achievement oriented.

The results of this research further suggest that the type of leader preferred in this academic setting is a person who is an *expert, achiever, and alchemist* (Rooke & Tolbert, 2005). An expert "rules by logic and expertise, seeks rational efficiency [and] is good as an individual contributor (p. 3). This type is typical of an individual who takes part in SSHRC funded research, and is highly valued, but being an expert comprises only part of what the respondents to my questions felt was important. A good leader also needs to be an achiever who is "well suited to managerial roles [is] action and goal oriented, meets strategic goals, effectively achieves these goals through teams, [and] juggles managerial duties and market demands" (p. 3). In addition to being an expert who is adept at moving an agenda forward, the leader must also be an alchemist or an almost magical person who can transform a group to stay focused on a higher ideal or purpose.

My analysis of the respondents' answers to my questions has led me to believe that a combination of the *achiever/expert/alchemist* is an optimal combination for this setting. Hence, my predilection towards an optimal leader being someone who assumes some type of benevolent dictator function but in combination with a SDCP role.

I will refer to the type of leader that appears to be optimal in this setting, as a *functional collaborative expert.* This description coincides in some respects with John Adair's (2005) functional leader, but also with the literature related to various forms of shared leadership.

The Functional Collaborative Expert

The functional, collaborative, expert is the term I have created to describe the type of leader that I think best fits the academic environment based on the literature and my analysis of the data I collected. This title comes from the following definitions of the three words I have incorporated into this term.

The *functional* leader is an individual who is duty and team oriented, is clear on the tasks that need to be accomplished, and is accepted by the group as someone who knows how to get things done (Adair, 2005).

Collaborative leaders are adept at assessing the environment and identifying the impact of influences from it. They have clarity of vision and mission, create a sense of security for the group members, develop others in the group, and share the leadership role. These individuals give away the lead when the group members agree it is appropriate and when they know that the skills needed at that time are what they possess.

The *expert* leader is an individual whose superior skills are recognized by the type of group members who engage in scholarly research. These individuals are highly intelligent,

well educated, and enjoy an elevated social position. The expert is an individual who is a respected member of this elite group.

Figure 4 indicates that a good leader in an academic setting is one who is intelligent and respected, seeks to develop the best in the group members, and understands that people have different ways of learning (e.g., Gardner, 1999) and different viewpoints. A good leader on a SSHRC research grant, continually clarifies the vision, shares power, builds trust and respect, and seeks input. What appears to make a leader exceptional, based on the responses from the 12 researchers I interviewed, is an ability to determine the optimal size and skill set of the group and when to end consultation and take appropriate action.

These tasks are very difficult to do well and there was no consensus on what the optimal group size or skill set might be. It was assumed to be context specific and dependent upon the project and the circumstances that impact the group both externally and internally.

What I am describing falls within the contingency theory category whereby a leader's behaviours are influenced by context and situation. Leaders adapt to particular stimuli based on their knowledge, skill, ability to self-reflect, and their understanding of the internal and external environments that influence them and their group.

These types of leaders are also transformative; they raise "the level of human conduct and ethical aspiration of both leader and led" (Burns, 1978, p. 20). They assist the group to work through Bradford and Cohen's (1998) stages of group development in order to acquire a shared understanding of leadership, work ethic, vision, collegiality and support

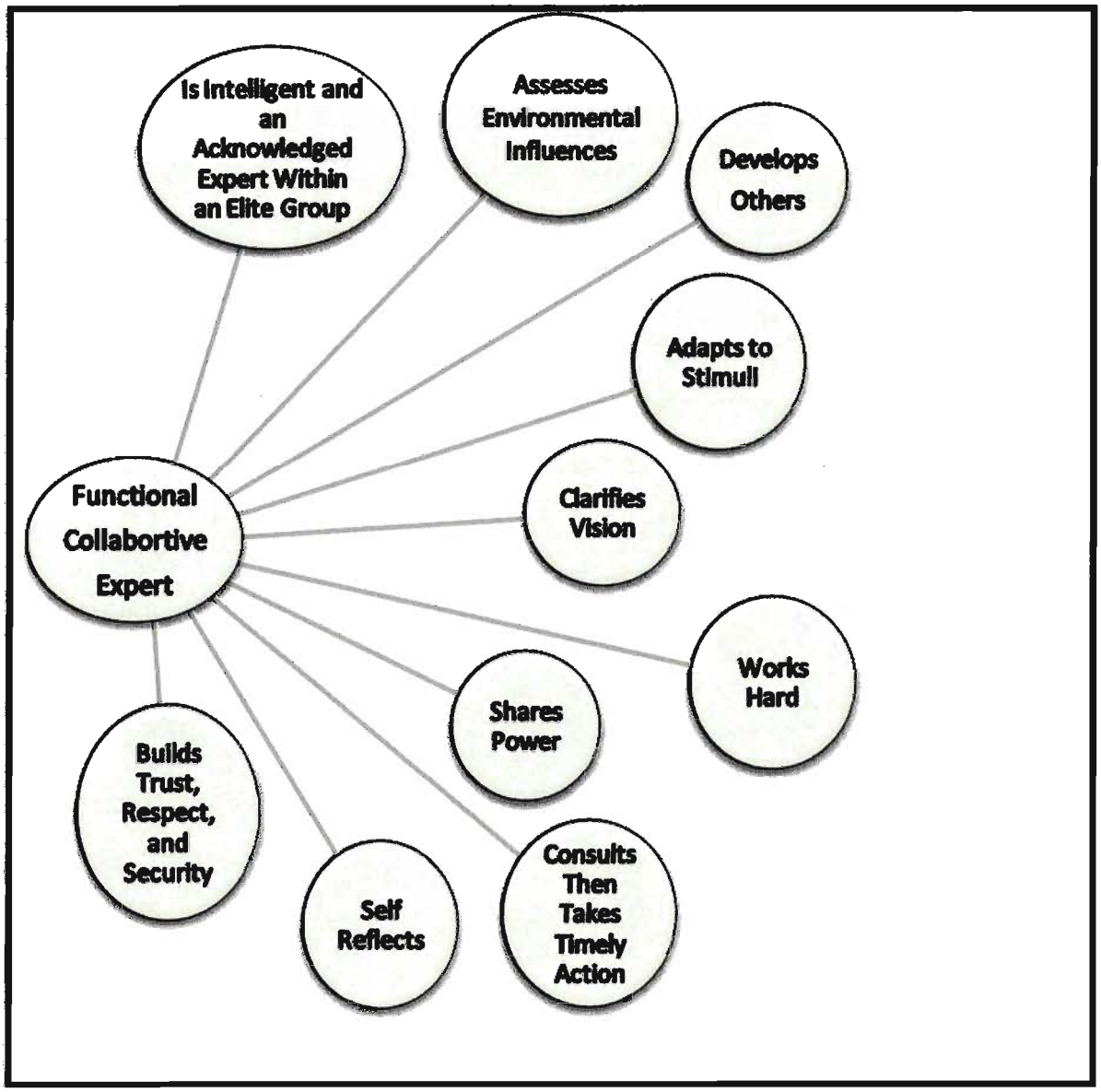

Figure 4. The functional, collaborative, expert

among members.

The functional collaborative expert is the type of leader who is given the task of developing the group at the initial stages and is cognizant of how important it is to work through the five stages to ensure all members have a clear understanding of what makes a viable group. This activity requires a leader who is highly skilled, or knows how to access a facilitator who is more capable in conducting a team building activity. This exercise should be undertaken as the members come together initially and revisited at least once a year throughout the life of the group.

This group work is integral to the development of trust among the members that was mentioned by the respondents in this study and in much of the leadership literature. This trust allows members to be honest, open, and to value each other's time and skills through their actions and words. The kind of leader needed to move the members through Bradford and Cohen's five stages, is not born. This person requires nurturing, guidance, and time to develop these skills; all resources that seem to be in short supply in people's busy lives.

Nevertheless, based on what I have uncovered in this research, it seems that an investment of time and money for leadership skill development is worth the outlay in regards to achieving results that the researcher, SSHRC, the university, and ultimately society, can be proud of and utilize.

Public Policy Considerations

What makes this research particularly interesting to policy makers within universities and at the political and bureaucratic levels is the importance that researchers place on the leadership and management of these collaborative ventures and its impact

on success. Given the current climate of fiscal restraint, everyone involved in SSHRC funded projects and the development of new knowledge should be interested in the role that leadership plays in regards to the smooth operation of a research project. Given the fact that these projects are funded by tax payers, it is alarming to hear stories of inefficiencies such as the example given whereby numerous people took part in a research activity that yielded results that were useless. This example highlights the kinds of fiscal, ethical, and professional issues that arise when leadership is ineffective or not accepted by the group.

Faculty members know that good leaders require complex skill sets and knowledge regarding project management, academic environments, reward systems, psychology, budgeting, coordinating, communicating, and leading by example. It is acknowledged that these skills can be learned given sufficient resources including time, funding, and agency and university support. Based on the discussions I have had with faculty members, however, it seems that the administration of the university and funding agencies assume that all researchers have the ability and time to lead well, and this belief is not necessarily borne out in reality.

As professors and researchers, these individuals are highly skilled in conducting research, preparing and delivering presentations, dealing with students, chairs, deans, and other bureaucrats. Adding such a highly complex skill, such as being an exemplary leader, is very difficult. Leading a SSHRC funded collaborative successfully is not an activity to be taken lightly, and in the interest of creating timely, useful new knowledge in a cost effective manner, it is incumbent upon all the players involved to appreciate, support, and celebrate the skilled leader.

Future Research

It was, and still is, my intention that this research would provide policy makers (SSHRC bureaucrats, politicians), faculty researchers, and university research administrators with initial data in a growth area within the field of educational policy and leadership. I anticipate that this research will answer some questions while creating new and emerging ones as it opens an area of investigation that could lead to an ongoing program of research for me and others who are engaged in research that is funded by Social Sciences and Humanities Research Council.

Because it is relatively new, I anticipate that this work would begin an ongoing exploration of this topic over a considerable period of time. I also hope that it will lead to the creation of new tools designed by personnel in university and college research offices as they continue to improve on their ability to assist faculty members who obtain funding from SSHRC.

The results of this research are bounded by the number of respondents who were interviewed and the focus on SOU based researchers. The findings cannot be generalized to a larger population; thus, future research might involve the creation of a quantitative survey that will build on these results. By accessing the SSHRC data base where the names of awardees across Canada are listed, an online survey could be developed and administered in order to further develop this program of research based on the findings that resulted from this qualitative study.

Conclusions

In summary, it would appear that academics are like others outside their milieu in many ways, but due to the unique nature of this setting (e.g., group members are

colleagues, highly trained, and specialists in particular areas), it would appear that it takes a highly skilled academic to lead such diverse individuals. Academics, above all else, want to be respected for their expertise; therefore, they need to be lead by individuals who they respect and trust. When trust is broken, as was articulated by several respondents, the groups can fall apart.

Researchers also want a leader who is decisive, in the interests of time and fiscal accountability, but they do not want an autocrat or a laissez-faire leader either. They want a leader who is committed to knowledge creation, management, and dissemination. This person is a transformational leader who develops clear and thoughtful decisions that are built on trust and a learning community.

Based on the passion that all respondents exhibited, it is clear that what they engage in is more than an activity they do for pay. It is more like a calling, or even an obsession, so they are highly invested in work that, at times, may mean more to them than to others. A leader on a research project understands this passion and is able to respect and find a place for it and this value sets apart a good leader from an excellent one in academia.

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Appendix A

Research Ethics Board Clearance Letter

Brock University
Office of Research Services
Research Ethics Office
St. Catharines, Ontario, Canada L2S 3A1
T: 905-688-5550, Ext. 3035/4876 F: 905-688-0748
www.brocku.ca

DATE: May 29, 2007

FROM: Linda Rose-Krasnor, Chair
Research Ethics Board (REB)

TO: Michael Manley-Casimir, Education
Frances CHANDLER
Angela DiNello

FILE: 06-325 CHANDLER

TITLE: Leadership Roles on SSHRC-funded Research

The Brock University Research Ethics Board has reviewed the above research proposal.

DECISION: Accepted as is.

This project has received ethics clearance for the period of May 29, 2007 to January 31, 2009 subject to full REB ratification at the Research Ethics Board's next scheduled meeting. The clearance period may be extended upon request. ***The study may now proceed.***

Please note that the Research Ethics Board (REB) requires that you adhere to the protocol as last reviewed and cleared by the REB. During the course of research no deviations from, or changes to, the protocol, recruitment, or consent form may be initiated without prior written clearance from the REB. The Board must provide clearance for any modifications before they can be implemented. If you wish to modify your research project, please refer to http://www.brocku.ca/researchservices/forms to complete the appropriate form **Revision or Modification to an Ongoing Application.**

Adverse or unexpected events must be reported to the REB as soon as possible with an indication of how these events affect, in the view of the Principal Investigator, the safety of the participants and the continuation of the protocol.

If research participants are in the care of a health facility, at a school, or other institution or community organization, it is the responsibility of the Principal Investigator to ensure that the ethical guidelines and clearance of those facilities or institutions are obtained and filed with the REB prior to the initiation of any research protocols.

The Tri-Council Policy Statement requires that ongoing research be monitored. A Final Report is required for all projects upon completion of the project. Researchers with projects lasting more than one year are required to submit a Continuing Review Report annually. The Office of Research Services will contact you when this form ***Continuing Review/Final Report*** is required.

Please quote your REB file number on all future correspondence.

LRK/bb

Brock University
Office of Research Services
Research Ethics Office
St. Catharines, Ontario, Canada L2S 3A1
T: 905-688-5550, Ext. 3035/4876 F: 905-688-0748
www.brocku.ca

FROM: Michelle McGinn, Chair
Research Ethics Board (REB)

Michelle K. McG

TO: Michael Manley-Casimir, Education
Frances Chandler

RE: Continuing Review

FILE: 06-325 - CHANDLER
Ph. D.
Original clearance date: May 29, 2007
Date of completion: January 31, 2010

DATE: February 18, 2009

Thank you for completing the ***Continuing Review*** form. The Brock University Research Ethics Board has reviewed this report for:

Leadership Roles on SSHRC-funded Research

The Committee finds that your original proposal and ongoing research conforms to the Brock University guidelines set out for ethical research.

*** Continuing Review Accepted.**

- Please forward signature page in hard copy to our office.

MM/an

Appendix B

Letter of Permission to Reproduce a Table

Dear Frances,

I am happy to grant permission to republish the content you requested.

Best wishes,
Brent

Mr. Brenton R. Campbell - Global Rights Assistant - John Wiley & Sons, Inc.
111 River St., MS 4-02 - Hoboken, NJ 07030-5774
brcampbell@wiley.com - ph: 201-748-5825 - fax: 201-748-6008